DOCUMENT RESUME

ED 284 923	UD 025 653

TITLE	Grant Formulas. A Catalog of Federal Aid to States and Localities. Report to Congressional Committees.
INSTITUTION	General Accounting Office, Washington, D.C. Div. of Human Resources.
REPORT NO	GAO/HRD-87-28
PUB DATE	Mar 87
NOTE	405p.
AVAILABLE FROM	U.S. General Accounting Office, P.O. Box 6015, Gatithersburg, MD 20877 (1-5 copies, free, 6 or more, $2.00, 100 or more, 25% discount).
PUB TYPE	Reference Materials - Directories/Catalogs (132)
EDRS PRICE	MF01/PC17 Plus Postage.
DESCRIPTORS	*Educational Finance; *Federal Aid; Federal Government; *Federal Programs; Financial Support; *Grants; Grantsmanship; Public Support; *Resources; *State Federal Aid
IDENTIFIERS	*Funding Formulas

ABSTRACT

This report is a resource document which includes a catalog that explains how formulas for federal programs are used to allocate assistance to state and local governments. In addition, it provides information on the agencies and congressional committees that have jurisdiction over these programs, the amount of money allocated through these programs, and the sources and timeliness of the statistical data used in making funding allocations. An introduction to the catalog describes its objectives, scope, methodology, and format. The catalog itself is divided into 16 sections that provide the following information on programs of the 16 executive departments and agencies that made grants to state and local governments in fiscal year 1984: (1) program name and Catalog of Federal Domestic Assistance identification number; (2) program objectives; (3) federal agency; (4) governing authority; (5) financial information; (6) formula narrative; (7) mathematical structure; (8) definitions; (9) data sources; (10) matching requirements; (11) maintenance of effort requirement; and (12) comments. Also included are four appendixes giving summary data on formula grant programs, tables and figures of statistical data, and a glossary. (PS)

****
*   Reproductions supplied by EDRS are the best that can be made   *
*   from the original document.   *
****

UD

6-26-87

United States General Accounting Office

GAO

Report to Congressional Committees

March 1987

GRANT FORMULAS

A Catalog of Federal Aid to States and Localities

ED 284923

UD025653

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☒ This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality

- Points of view or opinions stated in this document do not necessarily represent official OERI position or policy

BEST COPY AVAILABLE

GAO/HRD-87-28

GAO

United States
General Accounting Office
Washington, D.C. 20548

Human Resources Division

B-220134

March 23, 1987

The Honorable John Glenn
Chairman, Committee on Governmental
Affairs
United States Senate

The Honorable Jack Brooks
Chairman, Committee on Government
Operations
House of Representatives

This report is a resource document, which includes a catalog that explains how formulas for federal programs are used to allocate assistance to state and local governments. In fiscal year 1984, formulas allocated about $85 billion, 87 percent of all federal grants-in-aid, to state and local governments.

Even though a majority of federal grants-in-aid are allocated by formula, no single document includes a uniform explanation of how federal formula grants are designed and operated. As the Congress attempts to oversee the targeting of scarce fiscal resources, a more in-depth understanding of how formulas allocate aid is needed. This report, in addition to explaining formula allocations, provides information on the agencies and congressional committees that have jurisdiction over these programs, the amount of dollars allocated through these programs, and the sources and timeliness of the statistical data used in making funding allocations.

We are sending copies of this report to appropriate House and Senate committees, the Office of Management and Budget, and the program agencies that provided the information in the catalog. Copies will be made available to others on request.

Richard L Fogel

Richard L. Fogel
Assistant Comptroller General

Contents

Chapter 1 Introduction

Chapter 1 Introduction 10
Objectives, Scope, and Methodology 13
Format of the Catalog 15

Section 1 Department of Agriculture

Section 1 Department of Agriculture 21
Cooperative Forestry Research (10.202) 22
Payments to Agricultural Experiment Stations Under Hatch Act (10.203) 24
Water and Waste Disposal Systems for Rural Communities (10.418) 26
Rural Rental Assistance Payments (10.427) 28
Cooperative Agreements With States for Intrastate Meat and Poultry Inspection (10.475) 31
Food Distribution: Child Nutrition (10.550A) 33
Food Distribution: Elderly Feeding (10.550B) 35
School Breakfast Program (10.553) 37
National School Lunch Program (10.555) 40
Special Milk Program for Children (10.556) 43
Supplemental Food Program for Women, Infants, and Children/WIC (10.557A) 45
Supplemental Food Program for Women, Infants, and Children: Administrative Costs (10.557B) 48
Child Care Food Program (10.558) 50
Summer Food Service Program for Children (10.559) 54
State Administrative Expenses for Child Nutrition (10.560) 56
Nutrition Education and Training Program (10.564) 60
Temporary Emergency Food Assistance: Administrative Cost (10.568) 62
Schools and Roads: Grants to States (10.665) 64

Section 2 Department of Commerce

Section 2 Department of Commerce 67
Special Economic Development and Adjustment Assistance Program: Long-Term Economic Deterioration (11.307) 68
Commercial Fisheries Research and Development (11.407) 71
Coastal Zone Management Program Administration (11.419) 73
Coastal Energy Impact Program: Formula Grants (11.421) 75

Coastal Energy Impact Program: Planning Grants (11.422) 77

Section 3
Department of Health and Human Services

81
State Health Planning and Development Agencies (13.293) 82
Health Planning: Health Systems Agencies (13.294) 84
Head Start (13.600) 86
Runaway Youth (13.623) 88
Child Abuse and Neglect Prevention and Treatment (13.628) 90
Administration on Developmental Disabilities: Basic Grants (13.630A) 92
Administration on Developmental Disabilities: Protection and Advocacy (13.630B) 94
Older Americans Programs: Planning, Coordination, Evaluation, and Administration of State Plan (13.633A) 96
Older Americans Programs: Supportive Services (13.633B) 98
Older Americans Programs: Nutrition Services (13.635) 100
Child Welfare Services: State Grants (13.645) 103
Work Incentive Program (13.646) 105
Foster Care: Title IV-E (13.658) 108
Adoption Assistance (13.659) 110
Community Services Block Grant (13.665) 112
Social Services Block Grant (13.667) 114
Child Support Enforcement (13.679) 116
Medicaid (13.714) 118
Aid to Families With Dependent Children (13.808) 120
Refugee and Entrant Assistance: Social Services (13.814A) 122
Refugee and Entrant Assistance: Targeted Assistance Programs (13.814B) 124
Refugee and Entrant Assistance: Maintenance and Medical Assistance (13.814C) 127
Low-Income Home Energy Assistance Block Grant (13.818) 129
Preventive Health and Health Services Block Grant (13.991) 131
Alcohol, Drug Abuse and Mental Health Services Block Grant (13.992) 133

Maternal and Child Health Services Block Grant (13.994) 136

Section 4 Department of Housing and Urban Development 139
Lower Income Housing Assistance Program (14.156) 140
Community Development Block Grant: Entitlement Grants (14.218) 143
Community Development Block Grant: Small Cities Program (HUD- and State-Administered) (14.219) 146
Urban Development Action Grants (14.221) 149
Rental Housing Rehabilitation (14.230) 155
Solar Energy and Energy Conservation Bank (14.550) 158
Public and Indian Housing (14.850) 162

Section 5 Department of the Interior 165
Indian Education: Assistance to Schools (15.130) 166
Fish Restoration (15.605) 168
Wildlife Restoration (15.611A) 170
Hunter Safety and Education (15.611B) 172
Historic Preservation Grants-In-Aid (15.904) 173
Land and Water Conservation Fund (15.916) 176

Section 6 Department of Justice 179
Juvenile Justice and Delinquency Prevention: Allocation to States (16.540) 180
Criminal Justice Block Grants (16.573) 182

Section 7 Department of Labor 185
Employment Service Administration (17.207) 186
Unemployment Insurance: State Administration (17.225) 188
Senior Community Service Employment Program (17.235) 191
Employment and Training Assistance: Dislocated Workers (17.246) 194
Migrant and Seasonal Farmworkers (17.247) 196
Job Training Partnership Act, Title II-A: Basic Program (17.250A) 198
Job Training Partnership Act, Title II-B: Summer Youth (17.250B) 201
Disabled Veterans Outreach Program (17.801) 203
Local Veterans Employment Representative Program (17.804) 205

Section 8 Department of Transportation

207
Boating Safety Financial Assistance (20.005) 208
Airport Improvement Program: Primary Airport Apportionments (20.106A) 210
Airport Improvement Program: State Apportionments (20.106B) 213
Highway Planning and Construction: Interstate System Construction (20.205A) 215
Highway Planning and Construction: Interstate 4R Program (20.205B) 217
Highway Planning and Construction: Primary System (20.205C) 219
Highway Planning and Construction: Rural Secondary System (20.205D) 222
Highway Planning and Construction: Urban System (20.205E) 224
Highway Planning and Construction: Urban Transportation Planning (20.205F) 227
Highway Planning and Construction: Bridge Replacement and Rehabilitation (20.205G) 229
Highway Planning and Construction: Highway Safety Programs (20.205H) 232
Highway Planning and Construction: Hazard Elimination (20.205I) 234
Highway Planning and Construction: Rail-Highway Crossings (20.205J) 236
Highway Planning and Construction: Interstate Highway Substitution (20.205K) 238
Motor Carrier Safety Assistance Program (20.218) 240
Local Rail Service Assistance (20.308) 242
Urban Mass Transportation Technical Studies Grants (20.505) 244
Urban Mass Transportation Capital and Operating Assistance Formula Grants: Large Urban Areas (20.507A) 246
Urban Mass Transportation Capital and Operating Assistance Formula Grants: Small Urban Areas (20.507B) 249
Public Transportation for Nonurbanized Areas (20.509) 251
State and Community Highway Safety (20.600) 253
Gas Pipeline Safety (20.700) 255

Transportation Services for Elderly and Handicapped: Capital Assistance Program (20.999) 257

Section 9 Department of the Treasury

259
General Revenue Sharing (21.300) 260

Section 10 Appalachian Regional Commission

263
Appalachian Local Access Roads (23.008) 264

Section 11 National Foundation on the Arts and the Humanities

267
Promotion of the Arts: State Programs (45.007) 268
Promotion of the Humanities: State Programs (45.129) 270

Section 12 Veterans Administration

273
Veterans State Domiciliary Care (64.014) 274
Veterans State Nursing Home Care (64.015) 276
Veterans State Hospital Care (64.016) 278

Section 13 Environmental Protection Agency

281
Construction Grants for Wastewater Treatment Works (66.418) 282
Water Pollution Control: State and Interstate Program Grants (66.419) 285
State Public Water System Supervision Program Grants (66.432) 287
State Underground Water Source Protection: Program Grants (66.433) 289
Pesticides Enforcement Program Grants (66.700A) 291
Pesticide Applicator Certification and Training Program (66.700B) 294
Hazardous Waste Management Financial Assistance to States (66.801) 296

Section 14 Department of Energy

299
State Energy Conservation (81.041) 300
Weatherization Assistance for Low-Income Persons (81.042) 302
Energy Extension Service (81.050) 304
Energy Conservation for Institutional Buildings (81.052) 306

Section 15 Federal Emergency Management Agency

309
State Flood Insurance Assistance Program (83.501) 310
Emergency Management Assistance (83.503) 312

Section 16 Department of Education

315
Adult Education: State-Administered Program (84.002) 316
Education of Handicapped Children in State Operated or Supported Schools (84.009) 318
Educationally Deprived Children: Local Educational Agencies (84.010) 320
Migrant Education: Basic State Formula Grant Program (84.011) 323
Educationally Deprived Children: State Administration (84.012) 325
Neglected and Delinquent Children (84.013) 327
Education of the Handicapped: Basic State Grant (84.027A) 329
Education of the Handicapped: Preschool Incentive (84.027B) 331
Library Services (84.034) 333
Interlibrary Cooperation and Resource Sharing (84.035) 335
School Assistance in Federally Affected Areas: Construction (84.040) 337
School Assistance in Federally Affected Areas: Maintenance and Operation (84.041) 340
Vocational Education: Basic Grants to States (84.048) 343
Vocational Education: Consumer and Homemaking Education (84.049) 346
Vocational Education: Program Improvement and Supportive Services (84.050) 349
Vocational Education: Special Programs for the Disadvantaged (84.052) 352
Vocational Education: State Councils (84.053) 354
Indian Education: Formula Grants to Local Educational Agencies and Tribal Schools (84.060) 356

Grants to States for State Student Incentives (84.069) 358
Vocational Education: State Planning and Evaluation (84.121) 360
Rehabilitation Services: Basic Support (84.126) 362
Transition Program for Refugee Children (84.146) 364
Improving School Programs: State Block Grants (84.151) 366
Public Library Construction (84.154) 368
Client Assistance for Handicapped Individuals (84.161) 370
Emergency Immigrant Education Assistance (84.162) 372

Appendixes

Appendix I: Formula Grant Programs, Ranked by Size in Dollars 374
Appendix II: Formula Grant Programs, Arranged by Budget Function 378
Appendix III: Major Categories of Statistical Data Used in Formula Grant Programs 384
Appendix IV: Inventory of Formula Grant Programs in Fiscal Year 1984, by House and Senate Authorizing Committees 400

Tables

Table 1: Dollars Distributed by Formula, by Agency, in Fiscal Year 1984 11
Table III.1: Frequency With Which Data Series Used in Formula Grants Were Updated for Programs in Fiscal Year 1984 (Based on Responses From Agency Officials) 386
Table III.2: Formula Grant Programs, Arranged by Major Statistical Series and Sources 390
Table IV.1: Summary of the Distribution of Formula Grants by House and Senate Authorizing Committees 400

Figures

Figure 1: Summary of Dollars Distributed by Formula, by Major Budget Function in Fiscal Year 1984 12
Figure III.1: Dollar Allocations Influenced by the Use of Selected Statistical Data Series, Fiscal Year 1984 385
Figure III.2: Sources of Statistical Data Series Used in Formulas, Fiscal Year 1984 388
Glossary 413

Abbreviations

AFDC	Aid to Families with Dependent Children
BEA	Bureau of Economic Analysis, Department of Commerce
BLS	Bureau of Labor Statistics, Department of Labor
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CPI	Consumer Price Index
CY	Calendar Year
DOE	Department of Energy
DOL	Department of Labor
DOT	Department of Transportation
ED	Department of Education
EDA	Economic Development Administration, Department of Commerce
EPA	Environmental Protection Agency
ETA	Employment and Training Administration, Department of Labor
FAA	Federal Aviation Admininistration
FIFRA	Federal Insecticide, Fungicide and Rodenticide Act
FHWA	Federal Highway Administration
FR	Federal Register
FY	Fiscal Year
HHS	Department of Health and Human Services
HUD	Department of Housing and Urban Development
ICC	Interstate Commerce Commission
JTPA	Job Training Partnership Act
NCES	National Center for Education Statistics, Department of Education
OMB	Office of Management and Budget
PHA	Public Housing Authority
PY	Program Year
SRS	Soil Research Service, Department of Agriculture
TSCA	Toxic Substances Control Act
UIS	Federal Unemployment Insurance Service, Department of Labor
UMTA	Urban Mass Transportation Administration, Department of Transportation
USC	United States Code
USDA	United States Department of Agriculture
VA	Veterans Administration

Chapter 1

Introduction

The need for congressional oversight of formula grants has become more important as formulas are increasingly relied on to distribute federal assistance to state and local governments. In fiscal year 1984, 87 percent of all federal grants-in-aid to state and local governments were distributed by formula, compared with an estimated two-thirds in fiscal year 1975.[1]

Formula grants are grants in which a structured mathematical statement and data elements, such as statistical data, are used to (1) allocate funds to eligible recipients, or (2) determine a potential grant recipient's eligibility to receive funds, or both. This report is a resource document that provides information about the mathematical structure and statistical data used in formulas to allocate federal aid to state and local governments. By providing a broader understanding of how formulas are designed and operated to implement federal policy goals, the report is intended to help the Congress conduct its oversight responsibilities for these programs.

To describe each formula, we have used a common terminology across programs, avoiding the more technical explanations used by program agency officials. This common terminology will facilitate cross-program comparisons and, hence, congressional oversight. The catalog at the end of the report describes 142 programs that distributed about $85 billion in formula grants to state and local governments in fiscal year 1984.

For each of the 16 executive departments and agencies that made grants to state and local governments, we identified the number of formula-based programs and the amount of dollars involved, as shown in table 1.

---

[1] The 1975 estimate is in an unpublished report from the Center for Governmental Research, Inc., Formula Evaluation Project: Final Report (Rochester, New York: Jan. 1980), p. 14. In addition to formula grants, the other major method of distributing funds is through discretionary grants. Discretionary grants are those grants in which federal agency officials have the authority to decide which eligible grant applicants will receive funds and how much will be awarded. For a review of fiscal year 1984 discretionary grant program administration, see Discretionary Grants: Opportunities to Improve Federal Discretionary Award Practices (GAO/HRD-86-108, Sept. 15, 1986).

Table 1: Dollars Distributed by Formula, by Agency, in Fiscal Year 1984

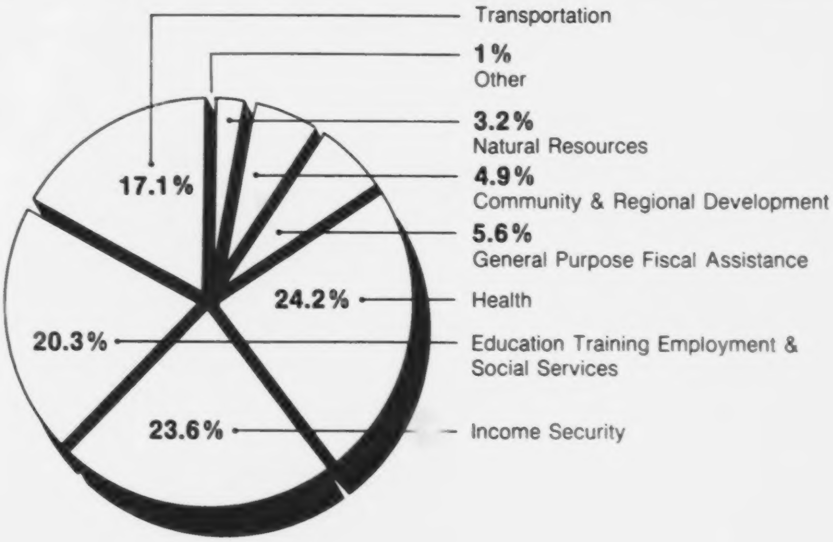
Dollars in millions

Agency	Dollars Distributed by Formula Grants	No. of Programs with Formulas
Department of Health and Human Services	$36,815.1	26
Department of Transportation	14,492.9	23
Department of Education	7,688.4	26
Department of Agriculture	6,801.2	18
Department of Labor	5,642.9	9
Department of Housing and Urban Development	5,604.7	7
Department of the Treasury	4,566.7	1
Environmental Protection Agency	2,543.7	7
Department of Energy	279.3	4
Department of Interior	172.5	6
Department of Justice	98.4	2
Veterans Administration	77.2	3
Federal Emergency Management Agency	58.2	2
Department of Commerce	56.8	5
National Foundation on the Arts and the Humanities	42.1	2
Appalachian Regional Commission	8.0	1
	$84,948.1	**142**

Note: Appendix I ranks each formula grant program by its size in total dollars allocated in fiscal year 1984.

The majority of the funds allocated through formula grant programs are concentrated in 4 of the 12 major budget functions, as defined by the Office of Management and Budget, that had formula grants. These 4 budget functions cover health; income security; education, training, employment and social services; and transportation. Appendix II details the formula-based programs used by these 12 major budget function categories.

Figure 1: Summary of Dollars Distributed by Formula, by Major Budget Function in Fiscal Year 1984



Note: Total does not add to 100 percent because of rounding.

Congressional oversight of formulas is appropriate because most formulas were designed with at least some congressional input. According to our survey of federal program officials with responsibility for managing formula grant programs, 87 program officials (of the 101 programs in which agency program officials had some knowledge of the design of formula grants) responded that the formulas they used were developed with at least some congressional guidance.

The current era of federal budget austerity focused greater congressional attention on formulas used to target scarce federal resources for the intended recipients. This concern was augmented by the growth in the numbers of federal grants-in-aid using formulas (only 34 of the 142 existed before 1965). Prompted by concerns over the effectiveness of federal allocation formulas, the Senate Subcommittee on Intergovernmental Relations, Committee on Governmental Affairs, held a hearing in May 1981. The chairman believed that formula grant programs were, in part, designed to alleviate disparities in the fiscal resources at the state and local levels. However, he was concerned that, over time, many of these formulas had produced and perpetuated these disparities. He stated that because the knowledge for designing and operating formulas is fragmented and specialized, there is little overall understanding of formula design and operation, complicating congressional oversight.

The administration concurred at that time. In testifying at these hearings, the deputy director, Office of Management and Budget, stated:

> "... [O]ne of the most confusing and frustrating aspects of the domestic assistance system involves the use of statistical formulas in allocating funds to states and localities and, also, in determining recipient eligibility for program participation. These formulas involve nearly 500 factors, many of questionable accuracy; a bewildering array of mathematical calculations—addition, multiplication, squaring applied without rationale—which all too frequently produce unsatisfactory results that enhance an image of poor public administration. There are several reasons for this (situation)—proliferation of assistance programs; lack of timeliness and accuracy in the data; absence of program rationale and documentation for formula calculations; and lack of agency ability to predict formula outcomes over time."

The Congress responded to these concerns by passing Public Law 98-169. Under this statute, information on formula grants is collected through an annual survey and is reported to the House Committee on Government Operations and the Senate Committee on Governmental Affairs. This report is prepared annually by the General Services Administration (GSA), based exclusively on responses from agency program officials.

Our catalog differs from the GSA report in several ways. Although we used data provided through a survey of agency program officials, we have further analyzed this information and revised it to provide a uniform method of expressing a formula's mathematical structure.

Objectives, Scope, and Methodology

Our objective was to catalog existing federal formula grant programs at the state and local levels. As a starting point, we used the technical definition of a formula contained in Public Law 98-169 (31 U.S.C. 6101) as the basis for including programs in our catalog:

> "... any prescribed method employing objective data or statistical estimates for making individual determinations among recipients of Federal funds, either in terms of eligibility or actual funding allocations, that can be written in the form of either (A) a closed mathematical statement; or (B) an iterative procedure or algorithm which can be written as a computer program; and from which the results can be objectively replicated ...."

We interpreted this definition to exclude programs where funds were distributed by agency discretion, but contained a provision that required recipients to match the federal funds with their own funds.

We developed a formula identification scheme, similar to that used in the Catalog of Federal Domestic Assistance (CFDA) (also prepared annually by GSA), which identifies and describes all federal aid programs by a periodic survey of federal agencies, assigning each a unique five-digit number. The first two digits identify the administering agency and the last three digits identify the program. For example, "10.550" represents the Department of Agriculture's (10) food distribution program (550).

Our catalog is limited to programs that distributed grants (but not loans or loan guarantees) to states, territories, or local government units.[2] We excluded some formulas, such as those used to distribute aid to individuals (e.g., Social Security) or to private businesses (such as Small Business Administration assistance).

In order to ensure a consistent set of data, our review was restricted to those programs in place in fiscal year 1984. The majority of our survey work was conducted between February and November 1985. We recontacted agency officials to update certain data items. The funding obligation data were updated to include fiscal year 1985; the formulas that changed substantially in fiscal year 1985 were updated; and program authorization dates were updated in December 1986 for those programs that expired in fiscal year 1986.

Collecting the Data

We prepared a separate questionnaire for each of the formula grants in our catalog. The questionnaires were designed to do the following: verify algebraic expressions that we developed for each formula program with the assistance of Federal Funds Information for States,[3] obtain a written narrative description of how each formula operated, and identify specific formula characteristics, such as constraints and data elements, used to compute allocations. Our questionnaires were directed to agency-designated formula contact persons, who had been identified earlier by GSA staff. The responses to the questionnaire were supplemented with telephone calls and personal interviews with these contacts as well as with other agency officials. These calls and interviews were supplemented by independent analyses by our economists. When we developed our draft, we sought comments from the formula contact persons and from other staff the agencies felt were appropriate to review our material. However, as mentioned earlier, we used a common terminology. To simplify highly technical material, we sometimes expressed formulas in algebraic terms different from those reported by the agencies, and did not always incorporate agencies' technical comments verbatim.

---

[2] We treated the District of Columbia as a state, unless its grant allocations were computed differently. Information concerning territories is provided where it was available. The formula allocations for territories are defined only where the method used was different from that used for the states.

[3] Federal Funds Information for States is an organization sponsored jointly by the National Governors' Association and the National Conference on State Legislatures; its mission, in part, is to help their members assess the state-by-state impacts of potential federal formula grant changes and to provide technical assistance on related matters.

Limitations on the Use of the Catalog

The catalog is intended to provide a baseline description of formula grant programs, as reported by agency officials. We do not draw conclusions about whether the formulas are appropriately or inappropriately designed to implement program objectives. Furthermore, the algebraic expressions used in the catalog are designed to facilitate a conceptual understanding of how the formulas work. As such, they do not completely account for the allocation of all funds to grant recipients. For example, they do not include constraints (such as Hold Harmless Provisions, see p. 415 of Glossary), although the Formula narrative (see p. 16) provides a more complete description. Consequently, the algebraic expressions do not represent legal interpretations and cannot be used to calculate actual grant allocations.

We reviewed the legal citations provided by the agencies in Governing authority (see p. 16); however, the Formula narrative in the catalog only reflects the explanation given by the program agencies and does not represent our interpretation of the law. Furthermore, our review did not verify the extent to which the agencies actually used the allocation processes they provided us.

Format of the Catalog

The catalog reports formula descriptions by agency, in the same order that they are presented in the CFDA.

Based on the responses received from agency officials, we prepared a summary description for each of the elements in the 142 formulas included in our survey, as follows:

Program Name and CFDA Number

In cases where more than one formula program was reported under a single CFDA number, we added an identifying letter to the CFDA identification number (e.g., 10.550A and 10.550B).[4]

Program Objectives

These were taken from the GSA report, but some were modified based on discussions with agency officials.

Federal Agency

The federal department or agency responsible for program administration is indicated.

Governing Authority

The public law, U.S. Code citation, the regulatory citation in the Code of Federal Regulations, and the administrative guidance issued by the agency are given, as applicable, based on information provided by the agencies. The citations identify the eligibility, allocation, and matching provisions used in the program. The funding authorization expiration date and information on appropriations for the program were provided by agency officials and updated in December 1986. Of the 50 programs scheduled for reauthorization in fiscal year 1986, funding was continued for 37. Forty-four other programs, which encompass over half of all funds allocated by formula, have continuous authorization.

Financial Information

The budget account identification number and obligation figures are provided for fiscal years 1983-85, based on information from the CFDA staff and program officials. In about 12 percent of the cases, agency officials provided figures for the amount of grant awards or authorizations instead of obligated amount of funds. Appendix I ranks the programs from the largest to the smallest in terms of dollars. Appendix II shows the programs grouped by budget function.

Formula Narrative

Based on information provided by program officials, we developed a narrative, explaining how funds are allocated. The narrative is organized in this way: It (1) identifies the recipients of funds (i.e., a state agency or local government), (2) describes any amounts set aside (from the basic appropriation at the federal level) for such purposes as administrative costs, territories, and Indian tribes (this may occur before allocations to recipients are made), and (3) explains how funds may be set aside after allocations are made to states. Seventy-seven of the 142 programs (54 percent) require funds to be set aside for various purposes at the federal or state level.

---

[4] We found several other anomalies, which resulted in additional modifications. In one case, a single program was divided between two CFDA classification numbers: 14.219 and 14.228. We combined them into 14.219 (Community Development Block Grant: Small Cities Program). In another case, we identified a formula grant that was not in the CFDA catalog, and we assigned it a number (20.999: Transportation Services for Elderly and Handicapped).

The formula allocation process is then explained. This explanation covers the data elements used and the mathematical relationship of the data elements (i.e., the weights applied to each data element and whether they are added, multiplied, or divided).

Finally, the constraints on a formula or its data elements are explained. For example, a program may set a maximum or minimum amount that a recipient can receive, or the program may require the initial allocation of a fixed amount of dollars to each recipient before the formula is used to allocate the remainder of the funds. Sixty-nine percent, 98 of the 142 formulas, had one or more external contraints imposed.

Mathematical Structure

The algebraic expression describes the mathematical structure of the formula. As such, it identifies how a formula's data elements are algebraically combined to determine program eligibility, the grantee's share of available funds, the grantee's funding allotment, or the level of eligible program costs that is subject to federal reimbursement. The algebraic formula, however, does not describe the actual process used to allocate funds. As a result, it cannot be used to calculate funding allocations and must be read in conjunction with the Formula narrative to gain a more complete description of how funds are actually allocated.

Definitions

This section defines the data elements used in the algebraic formula.

Data Sources

The statistical sources of the data elements described in the Definitions section are provided. The data are those used to make allocations during fiscal year 1984, unless otherwise indicated. If no date is shown, prior year or most currently available data sources (e.g., quarterly) are used to compute funding allocations. Appendix III summarizes the types of statistical data used as data elements.

Within the data sources, we have also classified the specific data elements used as follows:

- Total cost factor: a data element that directly measures total program or project costs, such as the cost of completing the federal highway system (Highway Planning and Construction: Interstate System Construction, 20.205A).
- Workload factor: a data element that measures, or is a proxy for, the quantity or number of units of service provided, such as the number of wells to be inspected (State Underground Water Source Protection: Program Grants, 66.443).
- Unit cost factor: a data element that reflects costs per workload unit, such as average per pupil expenditures (Educationally Deprived Children: Local Educational Agencies program, 84.010).
- Fiscal capacity factor: a data element that is used to provide a larger federal share of costs for grantees with lesser abilities to finance services. State per capita income levels are often used as a proxy measure for this concept (Medicaid, 13.714).
- Cost-sharing factor: a data element that explicitly reflects the share of program costs intended to be financed with federal funds. (School Assistance in Federally Affected Areas: Maintenance and Operation, 84.041).
- Incentive factor: a data element that is used to reward grantee performance, such as increased funding for states that place trainees in jobs with higher wage rates (Work Incentive Program, 13.646).
- Eligibility factor: a data element that reflects conditions grantees must meet in order to be eligible to receive funds; for example, a requirement that an area have an unemployment rate of 12 percent or more for a 2-year period before the area could be considered for funding (Special Economic Development and Adjustment Assistance Program: Long-Term Economic Deterioration, 11.307).
- N/A: where data elements for certain formulas could not be interpreted using the above classification scheme and therefore were not included in our typology.

Matching Requirements

Any required matching of state or local (or both) funds is described in this section. The percentage of the share is expressed as the federal share of costs. Eighty-six (61 percent) of the 142 programs require some level of nonfederal match of federal funds, provide for a federal reimbursement of costs, or both.

Maintenance of Effort Requirement

This indicates the presence or absence of a requirement that a state or local government must continue to spend some level of its own funds, usually based on a historical level of spending from its own sources. For example, a local government spending $1 million in education programs in 1983 may not reduce that level of spending in future years as it receives increased federal funding. The maintenance of effort requirement also includes federal requirements that state or local government must supplement federal grant funds; they must not use these funds to supplant state or local funding of these program areas. Agency officials told us that 45 (32 percent) of the 142 formulas contain a maintenance of effort or a supplement not supplant provision.

Comments

This section describes major program changes since fiscal year 1984, any unusual characteristics of a program, or a program's interrelationship with other programs. The description is based on information provided by the agencies.

Department of Agriculture

Source: GAO

Cooperative Forestry Research (10.202)

Program Objectives: To encourage and assist the states in carrying on a program of forestry research at state forestry schools, and to develop a trained pool of forest scientists capable of conducting needed forestry research.

Federal Agency: Department of Agriculture, Cooperative State Research Service

Governing Authority: Public Laws or Acts: Act of October 10, 1962 (McIntire-Stennis Act), Public Law 87-788, Sections 1-8, as amended. See, e.g., National Agricultural Research, Extension and Teaching Policy Act Amendments of 1981, Public Law 97-98, Section 1442(b) (16 USC §§582a-582a-7). Matching provisions are found at 16 USC §582a-3. Funding authorization is continuous.

Administrative Rule: Administrative Manual for the McIntire-Stennis Cooperative Forestry Research Program, Department of Agriculture, January 1982.

Financial Information: Account Identification: 12-1500-0-1-352 Obligations: FY 83 $12,078,440; FY 84 $12,320,940; and FY 85 $12,661,410

Formula Narrative

Funds are allocated to states and participating territories who, in turn, certify eligible institutions and determine the allocation of funds within the state. Eligible institutions include land grant colleges, agricultural experiment stations and other state-supported colleges and universities offering a forestry school.

Three percent of the funds is set aside, before funds are allocated, for federal administrative costs. Another 0.6 percent was set aside for the Small Business Innovation Research Program in FY 1984. (the percentage increases to 1.25 percent in FY 1986). Each state receives a fixed-dollar allocation of $25,000. Remaining funds are allocated based on a ranking (from 1 through 53) according to a state's weighted value. The weighted values are based on the sum of each state's proportionate share of three factors: (1) non-federal commercial forest acreage (40 percent); (2) timber cut from growing stock (40 percent); and (3) non-federal expenditures for forestry research (20 percent).

States' ranks are adjusted so that no state's rank will change by more than three places from the prior fiscal year. Ties between states are permitted.

Each state's share is determined by taking its rank (e.g., 53 for the highest state) and dividing it by the sum of all states' ranks.

Mathematical Structure:
STATE SHARE = RANK/RANKTOT STATE'S WEIGHTED VALUE = .40*(TREE/TREETOT) + .40*(CUT/CUTTOT) + .20*(EXP/EXPTOT)

Definitions:
RANK = rank of a state based on that state's weighted value
RANKTOT = sum of ranks of participating states
TREE = acreage of non-federal commercial forest in a state
TREETOT = total acreage of non-federal commercial forest in the U.S.
CUT = cubic feet of timber cut from growing stock in a state
CUTTOT = cubic feet of timber cut from growing stock in the U.S.
EXP = non-federal expenditures for forestry research in a state
EXPTOT = total non-federal expenditures for forestry research in the U.S.

Data Sources

Data Element	Source	Data Element Type
Non-federal commercial forest acreage. (TREE)	U.S. Forest Service, "An Analysis of the Timber Situation in the United States," Table 3.4 (1982).	Workload factor.
Cubic feet of timber cut from growing stock. (CUT)	U.S. Forest Service, "An Analysis of the Timber Situation in the United States," Table 3.45 (1982).	Workload factor.
Non-federal expenditures forestry research. (EXP)	USDA, Cooperative State Research Service, certification of eligible states (1981).	Incentive factor.

Matching Requirements: Federal share shall not exceed total non-federal funds available (i.e., not more than 50 percent).

Maintenance of Effort Requirement: No.

Comments: None.

Payments to Agricultural Experiment Stations Under Hatch Act (10.203)

Program Objectives: To support agricultural research. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life.

Federal Agency: Department of Agriculture, Cooperative State Research Service

Governing Authority: Public Laws or Acts: Act of March 2, 1887 (Hatch Act), Chapter 314, Sections 1-10, as amended. See, e.g., Act of August 11, 1955, Public Law 84-352, Sections 1-9, and National Agricultural Research, Extension and Teaching Policy Act Amendments of 1981, Public Law 97-98, Section 1442(a) (7 USC §§361a-361i). Allocation provisions are found at 7 USC §361(c). Matching provisions are found at 7 USC §361c(d). Funding authorization is continuous.

Administrative Rule: Administrative Manual for the Hatch (Experiment Station) Act as Amended, Department of Agriculture, November 1980.

Financial Information: Account Identification: 12-1500-0-1-352 Obligations: FY 83 $145,066,041; FY 84 $146,346,807; and FY 85 $152,039,371

Formula Narrative

Funds are distributed to land grant colleges or universities within a state or to separate agricultural experiment stations. States having more than one eligible institution must divide the state's allocation among these institutions. Amounts to each are specified by the state legislature.

Six-tenths of one percent of the funds were set aside, before funds are allocated among states, for the Small Business Innovation Research Program in FY 1984 (the percentage amount set aside increases to 1.25 percent in FY 1986).

Each year's appropriation is divided into three groups: (1) a set-aside amount for federal administrative costs, (2) a set-aside for regional research that potentially benefits more than one state, and (3) allocations to state areas that are subsequently distributed to eligible recipients. A base amount equal to the previous year's funding is established for each of the three categories.

For funding increases over the previous year, 3 percent is set aside for federal administrative costs, 25 percent is set aside for regional research that potentially benefits more than one state, and the remainder (72 percent) is allocated among states as follows: 28 percent equally among the states; 36 percent in proportion to each state's share of the nation's rural population; and 36 percent in proportion to each state's share of the nation's farm population.

Mathematical Structure:
STATE SHARE = .28*(1/N) + .36*(FPOP/FPOPTOT) + .36*(RURPOP/RURPOPTOT)

Definitions:
N = number of participating states and territories
FPOP = farm population in a state
FPOPTOT = farm population in the U.S.
RURPOP = rural population in a state
RURPOPTOT = rural population in the U.S.

Data Sources		
Data Element	**Source**	**Data Element Type**
Farm population. (FPOP)	Census Bureau, "1980 Census of Population: General Social and Economic Characteristics," PC80–1-C1 (1983).	Workload factor.
Rural population. (RURPOP)	Census Bureau, "1980 Census of Population: General Social and Economic Characteristics," PC80–1-C1 (1983).	Workload factor.
Number of states and territories. (N)	Agency maintained data.	Unit cost factor.

Matching Requirements: The federal share is 100 percent for allocations up to $90,000. For allocations in excess of $90,000 (except for the regional research fund) the federal share is not more than 50 percent.

Maintenance of Effort Requirement: No.

Comments: None.

Water and Waste Disposal Systems for Rural Communities (10.418)

Program Objectives To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

Federal Agency: Department of Agriculture, Farmers Home Administration

Governing Authority: Public Laws or Acts: Consolidated Farm and Rural Development Act, Public Law 87-128, Section 306, as amended. See, e.g., the Agricultural Credit Act of 1978, Public Law 95-334 (7 USC §1926). This program has continuous funding authorization.

Code of Federal Regulations: 7 CFR 1942.

Administrative Rule: Allocation provisions are found in 50 FR 6351 (1985).

Financial Information: Account Identification: 12-2066-0-1-452 Obligations: FY 83 $313,160,570; FY 84 est $103,741,820; and FY 85 est $115,000,000 (The FY 83 and FY 84 amounts include Jobs Bill projects (Public Law 98-8) for which $150 million in grant funds was appropriated)

Formula Narrative

Funds are distributed to FmHA regional offices based on a formula allocation made to each state in a region (excluding the District of Columbia, which has no rural population). Out of each state area's allocation, regional offices distribute funds on a discretionary basis directly to municipalities, counties and other political subdivisions in a state. Funds are also allocated to associations, Indian tribes and not-for-profit corporations.

Ten percent of the appropriation is set aside for FmHA discretionary use to accomodate emergencies, cost overruns and other unforeseen problems. $550,000 is also set aside for administrative allocation to the Virgin Islands and Western Pacific Territories, both of which do not participate in the allocation via formula. Puerto Rico is treated as a state for purposes of formula allocations.

The formula allocates 50 percent of available funds based on a state's proportionate share of the rural population and 50 percent based on its proportionate share of rural population in poverty. This represents a change from the formula used in FY 1983 where the weights were 1/3 and 2/3 respectively. A transition formula was used between FY 1983 and FY 1985. The transition formula assured that no state area would receive less than 85 percent of its previous allotment, nor more than 115 percent.

Mathematical Structure:
STATE SHARE = .50*(RURPOP/RURPOPTOT) + .50*(RURPOV/RURPOVTOT)

Definitions:
RURPOP = rural population in a state
RURPOPTOT = total rural population in all states
RURPOV = number of people below poverty level in rural areas in a state
RURPOVTOT = total number of people below poverty level in rural areas in all states

Data Sources

Data Element	Source	Data Element Type
Rural population. (RURPOP)	Department of Commerce, Press Release No. CB 81–138, 1980.	Workload factor.
Rural population in poverty. (RURPOV)	Census Bureau, "1980 Census of Population and Housing," (PHC 80–51–1), Provisional Estimates of Social, Economic and Housing Characteristics.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: The transition formula can result in a surplus or deficit of funds. A surplus would be allocated to the unconstrained states based on the original formula; any deficit would be similarly prorated among the states.

Rural Rental Assistance Payments (10.427)

Program Objectives: To aid low-income rural families, including senior citizens, in obtaining decent homes in suitable living environments by subsidizing the rents they pay in newly constructed rural rental or cooperative housing.

Federal Agency: Department of Agriculture, Farmers Home Administration

Governing Authority: Public Laws or Acts: Housing Act of 1949, Public Law 81-171, Title V, as added by the Senior Citizens Housing Act of 1962, Public Law 87-723, as amended (42 USC §1485) and the Housing and Urban Development Act of 1968, Public Law 90-448, as amended (42 USC §1490a). Funding authorization is continuous.

Code of Federal Regulations: Allocation provisions are found at 7 CFR 1940.552, 1940.575 and 1940.576.

Administrative Rule: 50 FR 24178 and 43695 (1985). FmHA Instruction 1940-L, "Methodology and Formulas for Allocation of Loan and Grant Program Funds," July 12, 1985.

Financial Information: Account Identification: 12-2002-0-1-604; 12-4141-0-3-371
Obligations: FY 83 $50,041,250; FY 84 $48,996,250; and FY 85 $52,473,300

Formula Narrative

This program is closely linked to FmHA's Rural Rental Housing Loan Program (10.415). The loan program provides funding for the construction of housing units while this program provides grants to subsidize the rental payments of low-income occupants in the newly-constructed units. FmHA generally obligates both loan and rental assistance grant funds for a construction project within the same fiscal year. Rental assistance payments begin only after a project is built.

The nominal term for rental subsidies is for a five year period. However, the length of time may be for a shorter or longer period, depending on a tenant's income and the amount of rent charged.

The number of newly constructed rental units to be subsidized, and the amount of dollars to be appropriated to subsidize these units, are established annually by Congress. In FY 1984, 4,750 units were available for allocation, with an average subsidy of $10,315 per unit.

In FY 1984, 675 units were set aside at the national level for discretionary awards. The remainder were allocated among states (Puerto Rico is treated as a state).The Virgin Islands and West Pacific Trust Territory received administratively determined amounts rather than formula allocations. The District of Columbia, having no rural population, is not eligible to participate.

The rental assistance units that are allocated to states are allocated based on their proportionate share of national totals of the following factors, weighted one-third each: (1) rural population, (2) number of rural families with incomes below the poverty threshold, and (3) the number of rural occupied substandard housing units.

Those states that receive allocations of $15 million or more in loans under the loan program (10.415) suballocate their rental assistance units to FmHA district offices, as they do with the loan funds.

No state receives less than the number of subsidy units for one average-sized new construction project (20 rental units in FY 1984). In addition, no state's share of the total may increase or decrease more than 20 percent from one year to the next.

Mathematical Structure:

$$\text{STATE SHARE} = 1/3 * (\text{RURPOP}/\text{RURPOPTOT}) + 1/3 * (\text{RURPOV}/\text{RURPOVTOT}) + 1/3 * (\text{RURSUB}/\text{RURSUBTOT})$$

Definitions:

RURPOP = rural population in state areas of less than 10,000 population (or population of less than 20,000 if the area is not in a Metropolitan Statistical Area and there is a serious lack of mortgage credit for low or moderate-income households, as determined by the Secretaries of HUD and USDA)
RURPOPTOT = total rural population in all state areas of less than 10,000 population (or population of less than 20,000 if the area is not in a Metropolitan Statistical Area and there is a serious lack of mortgage credit for low or moderate-income households, as determined by the Secretaries of HUD and USDA)
RURPOV = number of rural families with incomes below the poverty threshold in a state
RURPOVTOT = number of rural families with incomes below the poverty threshold in all states
RURSUB = number of rural occupied substandard housing units in a state that lack plumbing facilities and/or that have more than one

person per room
RURSUBTOT = number of rural occupied substandard housing units in the U.S. that lack plumbing facilities and/or that have more than one person per room

Data Sources

Data Element	**Source**	**Data Element Type**
Rural population. (RURPOP)	Economic Research Service and FmHA, USDA, "Selected Census Data, 1980: How to It Relates to the Area Served by Farmers Home Administration Rural Housing Programs," unpublished (1983).	Workload factor.
Rural families with incomes below the poverty threshold. (RURPOV)	Economic Research Service and FmHA, USDA, "Selected Census Data, 1980: How It Relates to the Area Served by Farmers Home Administration Rural Housing Programs," unpublished (1983).	Workload factor.
Poverty threshold. (RURPOV)	Census Bureau, "1980 Census of Population and Housing," Summary Tape File 3 Documentation," table on p. 277.	Eligibility criterion.
Rural occupied substandard housing units. (RURSUB)	Economic Research Service and FmHA, USDA, "Selected Census Data, 1980: How It Relates to the Area Served by Farmers Home Administration Rural Housing Programs," unpublished (1983).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirements: No.

Comments: FmHA uses the same formula to allocate rural rental housing loan funds to state areas. Rental assistance is also available to renew contracts and services for existing rental units, but funding under the existing rental program is not allocated via formula. Grants under that program are discretionary.

Cooperative Agreements With States for Intrastate Meat and Poultry Inspection (10.475)

Program Objectives: To maintain meat and poultry inspection programs in order to assure the consumer an adequate supply of safe, wholesome and properly labeled meat and poultry.

Federal Agency: Department of Agriculture, Food Safety and Inspection Service

Governing Authority: Public Laws or Acts: Act of March 4, 1907, Public Law 59-242, Ch. 2907 ("Federal Meat Inspection Act"), as added by the Wholesome Meat Act of 1967, Public Law 90-201, as amended (21 USC §§601-624, 661, 671-680). Also see the Poultry Products Inspection Act of 1957, Public Law 85-172, Section 5, as amended (21 USC §§451-470) and the Talmadge-Aiken Act, Public Law 87-718 (7 USC §450). Reimbursement provisions are found at 21 USC §661(a)(3) and 21 USC §454(a)(3). Funding authorization is continuous.

Code of Federal Regulations: 9 CFR 321.1-321.2; 9 CFR 331.1-331.6; 9 CFR 381.185-381.186; 9 CFR 381.220-381.225.

Administrative Rule: Food Safety and Quality Service, "Fiscal Guidelines for State Government Agencies Participating in the Cooperative Meat and Poultry Inspection Programs," Directive 3300.1 (1980).

Financial Information: Account Identification: 12-3700-0-1-554 Obligations: FY 83 $30,205,000; FY 84 $31,395,000; and FY 85 $33,093,000

Formula Narrative

Funds are reimbursed to state agencies charged with meat and poultry inspections in the 27 states that directly administer the program (the federal government directly operates the program in the remaining states).

States are reimbursed for up to 50 percent of all incurred costs, subject to available funding. In 20 of the 27 states, there are designated "Talmadge-Aiken plants" which are staffed with federally certified state employees. In these plants, overtime costs are reimbursed at a 100 percent rate.

Mathematical Structure:
FEDERAL ALLOTMENT = .50*COST1
FEDERAL ALLOTMENT (in Talmadge-Aiken plants) = .50*COST2 + COST3

Definitions:
COST1 = total state program costs (including overtime costs for non-Talmadge-Aiken plants)
COST2 = total state program costs (excluding overtime costs in Talmadge-Aiken plants)
COST3 = overtime costs in Talmadge-Aiken plants

Data Sources		
Data Element	**Source**	**Data Element Type**
Total state program costs.	USDA, Application for Federal Assistance, Form AD–623, (SF–424). Updated annually.	Total program costs. (COST1–3)

Matching Requirements: Federal share is up to 50 percent of total state program costs, and in Talmadge-Aiken plants, overtime costs are reimbursed at a 100 percent rate.

Maintenance of Effort Requirement: No.

Comments: This is a closed-ended entitlement program. However, total federal program costs have usually been less than the appropriated amount. Consequently, a pro-rata reduction is normally not required and the program is effectively an open-ended matching program.

Food Distribution: Child Nutrition (10.550A)

Program Objectives: To improve the diets of school and preschool children and to increase the market for domestically produced foods acquired under surplus removal or price support operations.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Agricultural Adjustment Act, amendments, Public Law 74-320, Section 32, as amended (7 USC §612c); see also National School Lunch Act as amended, Public Law 79-396, as amended (42 USC §§1751 et seq.). Allocation provisions are found at 42 USC §1755. Funding authorization is continuous.

Code of Federal Regulations: Allocation provisions are in 7 CFR 250.4 (b), 48 FR 32841, and 50 FR 30216.

Financial Information: Account Identification: 12-3539-0-1-605
Obligations: (Basic Entitlement) FY 83 $476,117,000; FY 84 $456,675,000; and FY 85 $475,202,000
(Bonus Commodities) FY 83 $391,100,000; FY 84 $439,900,000; and FY 85 $374,140,000

Formula Narrative

State allocations are open-ended entitlements of surplus federal commodities, the value of which is based on a statutory payment rate which is periodically updated (11.5 cents per meal in school year 1983-84) multiplied by the number of meals served to children under the following programs: School Lunch (10.555), Child Care (10.558) and Summer Food (10.559). States receive payment in surplus federal commodities or cash in lieu of commodities. However states may not receive more than 25 percent of their entitlements in cash (with certain exceptions). The 11.5 cents reimbursement rate is statutorily determined and is updated annually based on a statutorily required, USDA-constructed food cost index. States also receive additional, or "bonus," commodities above their entitlement amount. These bonus commodities are distributed on a discretionary basis by USDA.

Mathematical Structure:
STATE GRANT = MEALS * RATE

Definitions:
RATE = federal reimbursement rate for subsidized meals was 11.5 cents in FY 1984
MEALS = meals served that meet federal nutrition standards

Data Sources

Data Element	Source	Data Element Type
Meals served that meet federal nutrition standards. (MEALS)	Food and Nutrition Service quarterly program reports submitted by states on FNS Forms 10 and 44.	Workload factor.
Federal reimbursement rate. (RATE)	Statute; 42 USC 1755(e).	Unit cost factor.
U.S. cost index for food used in schools and institutions. (RATE)	BLS, Producer Price Index, (as adjusted by FNS on an annual basis).	Adjustment to unit cost factor.

Matching Requirements: Open-ended reimbursement program; program recipients are responsible for costs in excess of the federal reimbursement.

Maintenance of Effort Requirement: No.

Comments: The payment rate for school year 1985-86 is 11.75 cents.

Food Distribution: Elderly Feeding (10.550B)

Program Objectives: To improve the diets of the elderly and to increase the market for domestically produced foods acquired under surplus removal or price support operations.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Agricultural Adjustment Act, amendments, Public Law 74-320, Section 32, as amended (7 USC §612c); see also the Comprehensive Older Americans Act Amendments of 1978, Public Law 95-478, Section 311 (42 USC §3030a) as amended. Allocation and reimbursement provisions are found in 42 USC, §3030(a). Funding is authorized through September 30, 1987.

Code of Federal Regulations: Allocation provisions are in 7 CFR 250.4(b) and 48 FR 55303, and 50 FR 33363.

Financial Information: Account Identification: 12-3503-0-1-605 Obligations: FY 83 $107,052,000; FY 84 $117,903,000; and FY 85 $120,800,000

Formula Narrative

States share surplus federal commodities, the value of which is based on a statutorily prescribed payment rate which is periodically updated (56.5 cents in FY 1984) multiplied by the number of meals served that meet federal nutrition standards. However, if sufficient dollars are not available to fund this rate, states receive a prorated share of the appropriation. States may elect to receive cash in lieu of commodity foods. The statutorily set reimbursement rate is adjusted annually based on a consumer price index for food away from home for urban dwellers.

Mathematical Structure:
STATE GRANT = MEALS*RATE (if fully funded)
STATE SHARE = MEALS/MEALSTOT (if not fully funded)

Definitions:
MEALS = meals that meet federal nutrition standards served to elderly recipients
MEALSTOT = total meals served in all states RATE = federal reimbursement rate for subsidized meals was 56.5 cents in FY 1984

Data Sources		
Data Element	**Source**	**Data Element Type**
Meals that meet federal nutrition standards to elderly recipients. (MEALS)	HHS, Administration on Aging (unpublished); quarterly.	Workload factor.
Federal reimbursement rate. (RATE)	Statute; 42 USC 3030a.	Unit cost factor.
Cost index used for food served to elderly. (RATE)	BLS, Consumer Price Index for All Urban Consumers, Food Away From Home Series. (annual).	Adjustment to unit cost factor.

Matching Requirements: Open-ended reimbursement program; program recipients are responsible for costs in excess of the federal reimbursement.

Maintenance of Effort Requirement: No.

Comments: None.

School Breakfast Program (10.553)

Program Objectives: To assist states in providing nutritious breakfasts for school children, through cash grants.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Child Nutrition Act of 1966, Public Law 89-642, Section 4, as amended. See, e.g., Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Sections 801(c), 817(d) and 819(b) (42 USC §1773). Allocation provisions are found at 42 USC §1773(b). Funding authorization is continuous.

Code of Federal Regulations: 7 CFR 220.

Administrative Rule: 48 FR 31058 (1983) and 50 FR 27995 (1985).

Financial Information: Account Identification: 12-3539-0-1-605
Obligations: FY 83 $341,000,000; FY 84 $364,910,000; and FY 85 $406,995,000

Formula Narrative

Allocations are made to states and territories, which in turn reimburse local school districts. Funds are administered by the state education agency or other approved state agency.

There were three federal reimbursement rates for school year 1983-84: (1) the federal subsidy rate for those breakfasts for which children paid the full price was 9 cents per meal; (2) reduced-price breakfasts are served to children whose family incomes were between 130 and 185 percent of the poverty level, and the federal subsidy rate was 32.75 cents per meal; and (3) free breakfasts are served to children whose family incomes were below 130 percent of the poverty level, and the federal subsidy rate was 62.75 cents per meal.

Federal payments are computed by multiplying the reimbursement rates prescribed by the Secretary of Agriculture by the number of breakfasts served in each category. The payment rates are updated annually to reflect changes in the consumer price index for all urban consumers in the food-away-from-home series.

Reimbursement rates for (2) and (3) are increased by 12.75 cents per meal for districts determined by the state administering agency to be in severe need. The reimbursement rates for reduced-price and free meals are increased to 45.5 and 75.5 cents, respectively. "Severe need" is defined as cases where (i) the reimbursement rate is insufficient to cover the costs of a school's breakfast program, and (ii) 40 percent or more of the lunches served to students at the school in the second preceding school year were served free or at a reduced price. However, schools required by state law to participate in the program which fail to satisfy the 40 percent eligibility criteria are eligible for severe need reimbursement rates for limited periods of time.

Mathematical Structure:
STATE GRANT = (BREAK * RATE1) + (REDUCE * RATE2) + (FREE * RATE3)

Definitions:
BREAK = number of breakfasts served to children whose family incomes are above 185 percent of the poverty level and who paid full price ("subsidized paid breakfast")
RATE1 = federal reimbursement rate for subsized paid breakfasts in school year 1983-84 was 9 cents per meal
REDUCE = number of breakfasts served to children whose family incomes are between 130 and 185 percent of the poverty level ("reduced price breakfast")
RATE2 = federal reimbursement rates for reduced price breakfasts served in school districts not classified as being in severe need was 32.75 cents per meal in school year 1983-84. For those districts classified as being in severe need, the reimbursement rate was 45.5 cents
FREE = number of breakfasts served to children whose family incomes were below 130 percent of the poverty level ("free breakfasts")
RATE3 = federal reimbursement rates for free meals served in school districts not classified as being in severe need was 62.75 cents per meal in school year 1983-84. For those districts classified as being in severe need, the reimbursement rate was 75.5 cents

Data Sources

Data Element	Source	Data Element Type
Number of breakfasts served. (BREAK, REDUCE, FREE)	Food and Nutrition Service, FNS Form 10, routine program report, unpublished, updated monthly.	Workload factor.
Federal reimbursement rate. (RATE1, RATE2, RATE3)	Statute; 42 USC 1773(b).	Unit cost factor.
Food component of Consumer Price Index. (RATE1, RATE2, RATE3)	BLS, Consumer Price Index (annual average). Food Away from Home Series	Adjustment to unit cost factor
Poverty. (RATE1, RATE2, RATE3)	OMB, official poverty guidelines (updated annually).	Eligibility criterion.

Matching Requirements: Open-ended reimbursement program; program recipients are responsible for costs in excess of the federal reimbursement.

Maintenance of Effort Requirement: No.

Comments: For school year 1985-86, the reimbursement rates were as follows: 9.75 cents for subsidized paid breakfasts, 38 cents for reduced price breakfasts, 68 cents for free breakfasts, and 13.75 cents extra for free and reduced price meals served in schools classified as being in severe need

National School Lunch Program (10.555)

Program Objectives: To assist states, through cash grants and food donations, in making the school lunch program available to school children.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: National School Lunch Act, Public Law 79-396, as amended; Child Nutrition Act of 1966, Public Law 89-642, as amended (42 USC §§1751-1764). Provisions for federal reimbursement to states are found in 42 USC §1753. Funding authorization is continuous.

Code of Federal Regulations: 7 CFR 210.4 covers allocation provisions.

Administrative Rule: 48 FR 31058 covers reimbursement rates for the 1983-84 school year. 50 FR 27995 covers rates for the 1985-86 school year.

Financial Information: Account Identification: 12-3539-0-1-605 Obligations: FY 83 $2,353,852,000; FY 84 $2,540,600,000; and FY 85 $2,659,710,000. (does not include value of donated food commodities.)

Formula Narratiave

Payments are made to states which, in turn, reimburse local school districts.

Three federal reimbursement rates are established: a "basic" rate for all lunches served, a second rate for reduced price lunches and a third for free lunches. In school year 1983-84, the federal basic rate was 11.5 cents per lunch. An additional 68.75 cents reduces the price of lunches served to children whose family incomes are above 130 and at or below 185 percent of the poverty level. For those children whose family incomes are at or below 130 percent of the poverty level, free lunches are served and the federal reimbursement is an additional $1.0875 per lunch above the basic rate. Federal payments are computed by multiplying the reimbursement rates by the number of lunches served in each category. The payment rates are updated annually based on the consumer price index, food away from home series.

In addition, if at least 60 percent of the lunches served in a school district are to children who are at or below 185 percent of the poverty level, these districts receive an additional 2 cents on top of their basic 11.5 cents per lunch reimbursement.

Mathematical Structure:
STATE GRANT = (LUNCH * RATE1) + (REDUCE * RATE2) + (FREE * RATE3)

Definitions:
LUNCH = total number of lunches served
RATE1 = federal reimbursement rate for each lunch served in school year 1983-84 was 11.5 cents per meal.
REDUCE = number of lunches served to children whose family incomes are between 130 and 185 percent of the poverty level ("reduced price lunch")
RATE2 = federal reimbursement rates for reduced price lunches served in school districts not classified as being in high poverty was an additional 68.75 cents per meal in school year 1983-84. For those districts classified as being in severe poverty, the reimbursement rate was 70.75 cents.
FREE = number of lunches served to children whose family incomes were below 130 percent of the poverty level ("free lunches")
RATE3 = Federal reimbursement rates for free lunches served in school districts not classified as being in high poverty was an additional $1.0875 per meal in school year 1983-84. For those districts classified as being in high poverty, the reimbursement rate was $1.1075.

Data Sources

Data Element	Source	Data Element Type
Number of lunches served. (LUNCH, REDUCE, FREE)	Food and Nutrition Service FNS Form 10 unpublished, updated monthly.	Workload factor.
Federal reimbursement rate. (RATE1, RATE2, RATE3)	Statute; 42 USC 1753.	Unit cost factor.
U.S. cost index for food. (RATE1, RATE2, RATE3)	BLS, Consumer Price Index for All Urban Consumers: Food Away from Home Series, (annual average).	Adjustment to unit cost factor.
Poverty. (LUNCH, REDUCE, FREE)	OMB, official poverty guidelines (updated annually).	Eligibility criterion.
Per capita income. (PCI, PCIUS)	BEA, "Personal Income for States and Regions for Selected Years," Survey of Current Business (annual).	Fiscal capacity factor.

Matching Requirements: States are required to provide a 30 percent match applied to the basic (11.5 cents) federal reimbursement amount (11.5 cents * total number of lunches served in all three categories) for the 1981 school year. However, if a state is below the national per capita income level, its matching rate is proportionally reduced according to the following formula:

State Matching Rate = .30*(PCI/PCIUS); where PCI = per capita income in a state and PCIUS = national per capita income.

Maintenance of Effort Requirement: No.

Comments: The school lunch program is often considered to be comprised of three components—a cash payment, an entitlement to surplus commodities (or a cash payment in lieu of commodities) and a "bonus" commodity, which is distributed based on agency discretion. The method of participation for latter the two components is described in 10.550A.

The reimbursement rates for school year 1985-86 were: 12.5 cents for subsidized paid lunches, 90.25 cents for reduced price lunches, and 1.3025 cents for free meals. The increase for high poverty school districts remained 2 cents.

Special Milk Program for Children (10.556)

Program Objectives: To encourage the consumption of fluid milk by children of high school grade and under through subsidies to eligible schools and institutions.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Child Nutrition Act of 1966, Public Law 89-642, Section 3, as amended. See, e.g., National School Lunch and Child Nutrition Act Amendments of 1973, Public Law 93-150, Section 7; and Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Sections 807 and813(c) (42 USC §1772). Allocation provisions are found at 42 USC §1772(a). Funding authorization is continuous.

Code of Federal Regulations: 7 CFR 215.

Administrative Rule: 48 FR 31058 (1983) and 50 FR 27995 (1985).

Financial Information: Account Identification: 12-3502-0-1-605
Obligations: FY 83 $19,435,000; FY 84 $18,632,000; and FY 85 $15,508,000

Formula Narrative

Payments are made to states and territories who, in turn, reimburse the service providers, such as nonprofit schools, child care centers, etc. Only those institutions which do not participate in a meal service program authorized under the National School Lunch program (10.555) or the various other child nutrition programs may participate in the Special Milk program.

State agencies may set aside an amount equal to not more than 1 percent of federal funds made available for reimbursement payments to carry out special developmental projects.

The state grant is determined by multiplying the number of paid half pints of milk served by a payment rate, which is established by USDA. This rate is adjusted each school year to correspond to the change in the Producer Price Index for fresh processed milk. The payment rate for school year 1983-84 was 9.25 cents per half-pint served. The law requires that the subsidy provided by this payment rate be used to reduce the price that the children pay for milk, and that the reimbursements to schools or institutions will not exceed the actual cost of milk to them.

Institutions participating in this program may also serve free milk to children meeting the eligibility requirements. Eligible children are those whose family incomes are at or below 130 percent of the poverty level. The cost of the free milk served is reimbursed in full.

Mathematical Structure:
STATE ALLOTMENT = (MILK1 * RATE) + (MILK2 * COST)

Definitions:
MILK1 = number of half-pints of milk served to children with family incomes above 130 percent of the poverty level
RATE = federal reimbursement rate for each half-pint of milk served was 9.25 cents in school year 1983-84
MILK2 = number of half-pints of milk served to children with family incomes at or below 130 percent of the poverty level
COST = actual cost of a half-pint of milk

Data Sources

Data Element	Source	Data Element Type
Number of half-pints of milk served. (MILK1, MILK2)	Food and Nutrition Service, FNS Form 10, routine program report, unpublished, updated monthly.	Workload factor.
Federal reimbursement rate. (RATE)	Statute; 42 USC 1772.	Unit cost factor.
Cost of milk. (COST)	BLS, "Monthly Labor Review," adjusted annually.	Unit cost factor.
Poverty level. (MILK1, MILK2)	OMB, official poverty guidelines, published annually.	Eligibility criterion.
Producer Price Index for fresh processed milk. (RATE)	BLS, "Monthly Labor Review," adjusted annually.	Adjustment to unit cost factor.

Matching Requirements: Open-ended reimbursement program; program recipients are responsible for costs in excess of federal reimbursement.

Maintenance of Effort Requirement: No.

Comments: The reimbursement rate for school year 1985-86 was 9.50 cents.

Special Supplemental Food Program for Women, Infants, and Children/WIC (10.557A)

Program Objectives: To provide, at no cost, supplemental nutritious foods and nutrition education as an adjunct to good health care for low-income pregnant, breastfeeding, and postpartum women, infants, and children up to the age of five identified to be at nutritional risk.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Child Nutrition Act of 1966, Public Law 89-642, Section 17 as amended (42 USC §§1786). Allocation authorizations are found at 42 USC §1786(h) and (i). Funding is authorized through September 30, 1988.

Code of Federal Regulations: 7 CFR 246.14 discusses distribution of funds.

Financial Information: Account Identification: 12-3510-0-1-605 Obligations: FY 83 $941,755,000; FY 84 $1,130,259,000; and FY 85 $1,202,035,431 (these figures reflect only food costs; administrative costs are in 10.557B)

Formula Narrative

Allocations are made to states, Indian tribes and territories after 20 percent of the appropriation is set-aside for state program administration (see 10.557B for allocation of these funds). Allotments are based on two formulas. The first is a "stability" formula, which is an amount equal to the prior year's allocations, adjusted for inflation in food costs. The second is an "equity" formula, which is based on an estimate of women, infants and children at nutritional risk (measured by poverty, low birth weight and infant mortality rates).

Funds are allocated under the stability formula first. If there are any remaining funds, they are allocated in proportion to the dollar shortfall between their allotment under the equity formula and their stability allotment (recipients who have no shortfall do not receive any additional funding). No recipient can receive funding increases greater than 15 percent of its stability allotment.

Mathematical Structure:
Stability Formula
STATE SHARE (FY 1984) = (COST * CASELOAD)/SUM OF NUMERATOR
STATE SHARE (FY 1985) = (GRANT * INFL)/SUM OF NUMERATOR

Equity Formula

STATE SHARE = (WICPOP/WICPOPTOT) * [.80 + (.05 * IMR) + (.15 * LWBR)]

where

WICPOP = CHILD + (1.25 * BIRTH * POV)

Definitions:

CHILD = number of children in families below 1985 percent of the poverty level, in a state
COST = projected average state cost, per recipient
CASELOAD = state caseload for the month of September, 1983
GRANT = annualized 4th quarter grant received by a state in prior fiscal year
INFL = U.S. inflation allowance for a "WIC Food Basket"
BIRTH = total births in state
POV = percent of children in families below 185 percent of the poverty level in a state
IMR = infant mortality rate in a state, expressed as a percent of the U.S. rate
LWBR = low weight birth rate in state, expressed as a percent of the U.S. rate
WICPOPTOT = national total of WICPOP

Data Sources

Data Element	Source	Data Element Type
Projected average state cost, per recipient. (COST)	USDA, Food and Nutrition Service estimates (annual).	Unit cost factor.
State caseload for month of September 1983. (CASELOAD)	State-reported data computed by USDA (September 1983).	Workload factor.
Fourth quarter grant. (GRANT)	USDA, Food and Nutrition Service, payment record (1984).	Workload factor.
Inflation allowance for a "WIC Food Basket." (INFL)	State-reported data compiled by USDA.	Adjustment to unit cost factor.
Number of children below 185 percent of poverty level. (POV, CHILD, WICPOP)	Census Bureau, "1980 Census of Population, General Social and Economic Characteristics," PC80−1C1 (1983).	Workload factor.
Number of births. (BIRTH, WICPOP)	National Center for Health Statistics, "Monthly Vital Statistics Report," (three year average).	Workload factor.
Infant mortality rate. (IMR)	National Center for Health Statistics, "Monthly Vital Statistics Report," (three year average).	Workload factor.
Low weight birth rate. (LWBR)	National Center for Health Statistics, "Monthly Vital Statistics Report," (three year average).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: In FY 1984, about 98 percent of funding was distributed via the stability formula and 2 percent via the equity formula.

Special Supplemental Food Program for Women, Infants, and Children: Administrative Costs (10.557B)

Program Objectives: To provide for the cost of administering the WIC supplemental food program (10.557A).

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Child Nutrition Act of 1966, Public Law 89-642, Section 17 as amended (42 USC §1771). Allocation provisions are found at 42 USC §1786. Funding is authorized through September 30, 1988.

Code of Federal Regulations: 7 CFR 246.14.

Financial Information: Account Identification: 12-3510-0-1-605
Obligations: FY 83 $235,439,000; FY 84 $282,564,900; and FY 85 $300,508,857

Formula Narrative

An amount equal to 20 percent of the total funds allocated through the WIC program (10.557A) is set aside for program administration. Each recipient's grant is a fixed percentage of its WIC allocation as described in 10.557A. The percentage is the lesser of: (1) 21 percent, or (2) the ratio of adminstrative-to-WIC allocation in a previous period, not to exceed 35 percent. Exceptions to the 35 percent maximum are made in hardship cases.

Mathematical Structure:
STATE SHARE = RATE * GRANT

Definitions:
RATE = 21 percent of the value of a recipient's WIC allocation or the ratio of administrative-to-food costs in a prior period, whichever is less
GRANT = final amount allocated for food grants under WIC (see 10.557A)

Data Sources

Data Element	Source	Data Element Type
WIC allocation. (GRANT)	USDA, Food and Nutrition Service payment records.	Workload factor.
Ratio of administrative- to-food grant costs in a prior period. (RATE)	USDA, Food and Nutrition Service (annual, unpublished).	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Child Care Food Program (10.558)

Program Objectives: To assist States, to initiate, maintain or expand nonprofit food service programs for children in public and private nonprofit non-residential institutions providing child care and private for-profit centers that receive compensation under Title XX for at least 25 percent of the children who are enrolled in non-residential day-care services.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: National School Lunch Act, Public Law 79-396, as added by the National School Lunch Act and Child Nutrition Act of 1975, Public Law 94-105, Section 16, as amended (42 USC §1766). Allocation provisions found at 42 USC §1766(c). Funding authorization is continuous.

Code of Federal Regulations: Allocation provisions found at 7 CFR 226.4.

Administrative Rule: 48 FR 32371 (1983) and 50 FR 27994 (1985).

Financial Information: Account Identification: 12-3539-0-1-605
Obligations: FY 83 $332,488,000; FY 84 $378,088,000; and FY 85 $434,854,000 (does not include value of donated food commodities)

Formula Narrative

Payments are made to states and territories which, in turn, reimburse day care centers, day care homes, and agencies sponsoring day care homes.

The federal reimbursement rates for day care centers are the same as those for the the School Breakfast Program (10.553) for breakfasts, and the National School Lunch Program (10.555) for lunches and suppers. In school year 1983-84, the rates for the supplemental (snack meal) were: 3 cents for all snacks, 16.5 cents for reduced-price snacks and 33 cents for free snacks. As in the other programs, the reduced-price meals are served to children whose family incomes are above 130 and at or below 185 percent of the poverty level, and free meals are served to children whose family incomes are at or below 130 percent of the poverty level.

The federal reimbursement rates for day care homes are higher. In school year 1983-84 the rates were: 52.5 cents for each breakfast served, $1.03 for a lunch or supper and 30.75 cents for supplements.

For both centers and homes, the federal payments are computed by multiplying the reimbursement rates by the number of meals served in each category. The payment rates are updated annually based on the food-away-from-home series of the Consumer Price Index for All Urban Consumers. No more than two meals and one supplement may be reimbursed per child per day.

Only sponsoring organizations for day care homes are reimbursed for administrative costs. They are reimbursed monthly based on the number of participating homes sponsored by the agency. The amount of reimbursement can not exceed the lesser of: (1) actual expenses, or (2) the administrative budget approved by the state education agency, or (3) the administrative payment computed by multiplying the number of day care homes under the sponsoring organization by the applicable rate. However, the administrative payment may not exceed 30 percent of the total of administrative and food service payments combined.

Mathematical Structure:
STATE GRANT (food)= (RATE1 * MEALS1) + (RATE2 * MEALS2)
STATE GRANT (administrative)= (RATE3 * HOMES)

Definitions:
RATE1 = federal reimbursement to day care centers at the rate of:
$0.09 per subsidized paid breakfast served
$0.3275 per reduced-price breakfast served
$0.6275 per free breakfast served
$0.115 per subsidized paid lunch/supper served
$0.8025 per reduced-price lunch/supper served
$1.2025 per free lunch/supper served
$0.03 per subsidized paid supplement served
$0.165 per reduced-price supplement served
$0.33 per free supplement served
MEALS1 = Number of meals served in each category in daycare centers
RATE2 = federal reimbursement to day care homes at the rate of:
$0.525 per breakfast meal served
$1.03 per lunch or supper meal served
$0.3075 per supplement meal served
MEALS2 = Number of meals served in each category in day care homes
RATE3 = federal reimbursement to agencies sponsoring participating day care homes at the rate of:
$46.00 per home per month, for the first 50 homes,
$35.00 per home per month, for the next 150 homes,
$28.00 per home per month, for the next 800 homes,

$24.00 per home per month, for the remaining homes
HOMES = Number of daycare homes administered by sponsoring state agency.

Data Sources		
Data Element	**Source**	**Data Element Type**
Number of meals served. (MEALS1, MEALS2)	Food and Nutrition Service, FNS Form 44, monthly routine program report, unpublished, updated annually.	Workload factor.
Federal reimbursement rate for day care centers. (RATE1)	Regulation; 7 CFR 226.4(b).	Unit cost factor.
Federal reimbursement rate for daycare homes. (RATE2)	Regulation; 7 CFR 226.4(c).	Unit cost factor.
Federal reimbursement rate for agencies sponsoring day care homes. (RATE3)	Regulation; 7 CFR 226.4(d).	Unit cost factor.
Food component of consumer price index. (RATE1, RATE2, RATE3)	BLS, Consumer Price Index for All Urban Consumers: food-away-from-home-series (annual average).	Adjustment to unit cost factors.
Poverty level. (RATE1)	OMB, official poverty guidelines (updated annually).	Eligibility criterion.
Number of participating day care homes administered by sponsoring state agency. (HOMES)	Food and Nutrition Service, FNS Form 44, monthly routine program report, unpublished.	Workload factor.

Matching Requirements: Open-ended reimbursement program; program recipients are responsible for costs in excess of the federal reimbursement.

Maintenance of Effort Requirement: No.

Comments: Day care centers and day care homes differ in that homes are reimbursed per meal served, with no income eligibility requirements applied to individual children, while income eligibility criteria do apply to children in day care centers.

The appropriation also makes available additional funds for audits and special developmental projects. Additional audit funds are available to the state agencies equal to two percent of reimbursement funds in the fiscal year two years prior to the current fiscal year. The state agencies may also receive an additional amount not to exceed one percent of reimbursement funds (second prior fiscal year) for special developmental projects, subject to USDA approval.

Day care centers and homes may participate in the surplus commodity food distribution program (10.550A). Day care centers can receive commodities valued at 11.5 cents per lunch or supper served in addition to the federal reimbursement rates in this program. However, should day care homes participate, the value of the commodities received reduces their reimbursement rates under this program by an equal amount.

Higher rates apply in Alaska and Hawaii; all rates have been revised upward for the 1985-86 school year.

Summer Food Service Program for Children (10.559)

Program Objectives: To assist states, through grants-in-aid and other means, to conduct nonprofit food service programs for needy children during the summer months and at other approved times, when area schools are closed for vacation.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: National School Lunch Act, Public Law 79-396, as amended by the National School Lunch Act, amendment, Public Law 90-302, Section 3, as amended (42 USC §1761). Allocation provisions are found at 42 USC §1761(b). Funding is authorized through September 30, 1989.

Code of Federal Regulations: 7 CFR 225.

Financial Information: Account Identification: 12-3539-0-1-605 Obligations: FY 83 $99,400,000; FY 84 $104,622,000; and FY 85 $115,100,000 (does not include value of donated food commodities)

Formula Narrative

Payments are made to states and territories which, in turn, reimburse participating institutions.

Breakfast, lunch and supplements (snacks) are reimbursed at the rate of $0.8175, $1.465 and $0.385 respectively. Federal payments are computed by multiplying the reimbursement rates by the number of meals served in each category. Reimbursement rates are annually adjusted for inflation based on changes in the food-away-from-home series of the Consumer Price Index for All Urban Consumers.

In addition to the cash payments, commodities are distributed to recipients on a discretionary basis.

Mathematical Structure:
STATE GRANT = (BREAK * RATE1) + (LUNCH * RATE2) + (SNACK * RATE3)

Definitions:
BREAK = number of breakfasts served
LUNCH = number of lunches served
SNACK = number of supplemental meals served
RATE1 = $0.8175 per breakfast served in the Summer of 1984

RATE2 = $1.465 per lunch or supper served, Summer 1984
RATE3 = $0.385 per snack, or supplemental meal, served, Summer 1984

Data Sources

Data Element	Source	Data Element Type
Number of meals served. (BREAK, LUNCH, SNACK)	Food and Nutrition Service FNS Form 418, monthly routine program report (unpublished).	Workload factor.
Federal reimbursement rates. (RATE1, RATE2, RATE3)	Statute.	Unit cost factors.
Food component of the Consumer Price Index. (RATE1, RATE2, RATE3)	BLS, Consumer Price Index for All Urban Consumers, food-away-from-home series	Adjustment to unit cost factors.

Matching Requirements: Open-ended reimbursement program; program recipients are responsible for costs in excess of federal reimbursement.

Maintenance of Effort Requirement: No.

Comments: Rates have been revised as follows for Summer 1986:
RATE1 = $0.8825
RATE2 = $1.585
RATE3 = $0.415

State Administrative Expenses for Child Nutrition (10.560)

Program Objectives: To provide each state education agency with funds for its administrative expenses in supervising and giving technical assistance to local school districts and institutions in their conduct of child nutrition programs. Other state agencies that administer the programs in non-residential child care centers and those that administer the distribution of USDA donated commodities to schools and institutions are also provided with state administrative expense funds.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority Public Laws or Acts: Child Nutrition Act of 1966, Public Law 89-642, Section 7, as amended. See, e.g., The Child Nutrition Amendments of 1978, Public Law 95-627, Section 7 (42 USC §1776). Allocation provisions are found at 42 USC §1776(a). Funding is authorized through September 30, 1989.

Code of Federal Regulations: 7 CFR 235. Allocation provisions are found at 7 CFR 235.4.

Administrative Rule: Allocation provisions are in 44 FR 48955 (1979).

Financial Information: Account Identification: 12-3539-0-1-605
Obligations: FY 83 $47,730,000; FY 84 $43,060,064; and FY 85 $46,880,000

Formula Narrative

Funds are allocated to eligible state agencies in those states or territories participating in federal child food programs. The amount available for allocation by the federal government is equivalent to 1.5 percent of combined federal expenditures in the School Breakfast Program (10.553), the National School Lunch Program (10.555), the Special Milk Program (10.556), and the Child Care Food Program (10.558) in the fiscal year two years prior to the current fiscal year.

The state grant is determined by, first, allocating to each state an amount equivalent to one percent of all federal funds spent in that state under three of the four food programs (School Breakfast, School Lunch and Special Milk). Each state receives not less than $100,000, or the amount allotted in FY 1981, whichever is greater.

Second, if a state administered a Child Care Food Program (10.558), it receives additional funds based on a sliding scale, in amounts equal to:

20 percent of the first $50,000 expended, 10 percent of the next $100,000, 5 percent of the next $250,000, and 2.5 percent of any remaining federal funds expended during the fiscal year two years prior to the current fiscal year.

Third, each state receives an additional flat $30,000 if it administers a Child Care Food Program (see 10.558) and another $30,000 if it administers a Food Distribution Program (see 10.550A and 10.550B).

Fourth, a minimum of $4 million is allocated among states for the Assessment, Improvement and Monitoring System (AIMS). Forty percent of AIMS funds are distributed in equal shares to each state agency (there may be more than one state agency in a state). The remaining 60 percent is distributed to state agencies based on their proportionate shares of the following factors: (1) the number of "school food authorities" in the nation that participate in the National School Lunch or Commodity School programs (20 percent); (2) the number of free and reduced price lunches served in the nation (20 percent); and (3) the number of "school food authorities" with enrollments of 40,000 or more in the nation (20 percent).

Finally, remaining funds are distributed to states that administer the Food Distribution and/or the Child Care Food programs. These funds must be distributed to states in the same ratio as the value of the food distributed and the funds expended in the state for such programs. Another use of the remaining funds is to increase the amount allocated to states for AIMS.

Mathematical Structure:

Steps 1 - 2

STATE ALLOTMENT OF BASIC ADMINISTRATIVE FUNDS = RATE1 *(LUNCH + MILK + BREAK) + (RATE2 * DAYCARE)

Step 4

STATE SHARE OF "AIMS" FUNDS = .40*(A/ATOT) + .20*(MEAL/MEALTOT) + .20*(SCHOOL1/SCHOOL1TOT) + .20*(SCHOOL2/SCHOOL2TOT)

Definitions:

RATE1 = .01

LUNCH = federal funds spent in a state through the School Lunch program, in the second preceding fiscal year

MILK = federal funds spent in a state through the Special Milk program,

in the second preceding fiscal year
BREAK = federal funds spent in a state through the School Breakfast program, in the second preceding fiscal year
RATE2 = sliding scale percentage of funds, equal to:
.20 times the first $50,000 of federal funds spent in DAYCARE
.10 times the next $100,000 of federal funds spent in DAYCARE
.05 times the next $250,000 of federal funds spent in DAYCARE
.025 times the remaining federal funds spent in DAYCARE
DAYCARE = federal funds spent in a state through the Child Care Food program, in the second preceding fiscal year
A = number of eligible state agencies in a state
ATOT = total number of eligible state agencies in all states
MEAL = number of free and reduced price meals served in a state
MEALTOT = number of free and reduced price meals served in all states
SCHOOL1 = number of school food authorities in a state
SCHOOL1TOT = number of school food authorities in all states
SCHOOL2 = number of school food authorities in a state that serves more than 40,000 students
SCHOOL2TOT = number of school food authorities in all states that serve more than 40,000 students

Data Sources

Data Element	Source	Data Element Type
Second preceding fiscal year's expenditures for school breakfast, child care food, special milk and school lunch programs. (LUNCH, MILK, BREAK, DAYCARE)	Food and Nutrition Service, accounting system close-out documents, unpublished.	Workload factors.
Number of free and reduced price meals served. (MEAL)	Food and Nutrition Service, FNS Form 10 and Form 44, routine program reports, unpublished.	Workload factor.
Number of eligible state agencies. (A)	Food and Nutrition Service, FNS Form 74, Federal-State Agreement, unpublished form, updated annually.	Workload factor.
Number and size of school food authorities for preceding fiscal year. (SCHOOL1, SCHOOL2)	Food and Nutrition Service, AIMS data base, unpublished, updated annually (1983).	Workload factors.
Federal reimbursement rate. (RATE1, RATE2)	Statute; 42 USC 1776(a).	Unit cost factors.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: None.

Nutrition Education and Training Program (10.564)

Program Objectives: To encourage the dissemination of nutrition information to children participating, or eligible to participate, in the School Lunch and related child nutrition programs. State and territorial education agencies contract with colleges, universities and other non-profit organizations to train school educational and food service personnel concerning food, nutrition and health.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Child Nutrition Act of 1966, Public Law 89-642, as added by the National School Lunch Act and Child Nutrition Amendments of 1977, Public Law 95-166, Section 15, as amended (42 USC §1788). Allocation provisions are found at 42 USC §1788(j). Matching provisions are found at 42 USC §1788(f). Funding is authorized through September 30, 1989.

Code of Federal Regulations: 7 CFR Part 227. Allocation and matching provisions are found at 7 CFR 227.5.

Financial Information: Account Identification: 12-3539-0-1-605
Obligations: FY 83 $5,000,000; FY 84 $5,000,000; and FY 85 $5,000,000

Formula Narrative

Funds are allocated to state and territorial education agencies in proportion to the number of students enrolled in public and private schools, and residential and non-residential day care units. States are entitled to the greater of 50 cents per child enrolled or $75,000, unless appropriated funds are insufficient to pay these amounts. If funds are insufficient, USDA uses enrollment data to identify minimum grant states. Each minimum grant state receives $50,000. Remaining funds are distributed to non-minimum grant states in proportion to each one's enrollment. States may set aside up to 15 percent of their allotments for administrative expenses.

Mathematical Structure:
STATE SHARE = ENROLL/ENROLLTOT

Definitions:
ENROLL = enrollment of students in public schools, private schools and residential and non-residential day care units, in a state
ENROLLTOT = enrollment of students in public schools, private schools and residential and non-residential day care units, in the U.S.

Data Sources		
Data Element	**Source**	**Data Element Type**
Enrollment in public schools. (ENROLL)	ED, National Center for Education Statistics (NCES) Common Core of Data, Part IV (1981); and Dept. of the Interior, Office of the Asst. Secretary for Territorial Affairs (unpublished) 1979- 1981.	Workload factor.
Enrollment in private schools. (ENROLL)	ED, NCES, Digest of Education Statistics, 1983 and 1976; Dept. of the Interior, 1980–81.	Workload factor.
Enrollment in residential day care units. (ENROLL)	ED, NCES attendence estimates (unpublished), and Common Core of Data, Part VII (1980); and USDA, FNS Form 47, "Annual Report of Meal Service in Schools" (March 1981).	Workload factor.
Enrollment in non-resi- dential day cay units. (ENROLL)	HHS, Administration for Children, Youth and lies, "Day Care Centers in the U.S.: A National Profile, 1976–77," Vol. 3.	Workload factor.

Matching Requirements: The federal share of state administrative costs is 50 percent, but cannot exceed the state's set-aside of up to 15 percent of its allotment. There is no match for the remainder of the program.

Maintenance of Effort Requirement: Yes.

Comments: None.

Temporary Emergency Food Assistance: Administrative Cost (10.568)

Program Objectives: To make funds available to states for storage and distribution costs incurred by nonprofit eligible recipient agencies in providing nutrition assistance to relieve situations of emergency and distress of needy persons.

Federal Agency: Department of Agriculture, Food and Nutrition Service

Governing Authority: Public Laws or Acts: Temporary Emergency Food Assistance Act of 1983, Public Law 98-8, Title II, Sections 201-210, as amended by the Federal Supplemental Compensation Act of 1982 Amendments, Section 2, Public Law 98-92, as amended (7 USC §612(c), note). Funds are authorized through September 30, 1987.

Code of Federal Regulations: 7 CFR 251. Allocation provisions are found at 7 CFR 251.3(c) and 251.8(a).

Administrative Rule: 48 FR 55991 (1983).

Financial Information: Account Identification: 12-3635-0-1-351
Obligations: FY 83 $49,820,000; FY 84 $49,125,000; and FY 85 $56,763,000

Formula Narrative

Funds are distributed to states. The states are required to use at least 20 percent of allotted funds for paying the actual costs for food storage and distribution incurred by charitable institutions, food banks, hunger centers, soup kitchens and similar nonprofit organizations providing emergency nutrition assistance.

Forty percent of the funds are allocated based on each state's proportionate share of unemployed persons and 60 percent in proportion to each state's share of the number of persons living below the poverty level.

Mathematical Structure:
$\text{STATE SHARE} = .40*(\text{UNEMP}/\text{UNEMPTOT}) + .60*(\text{POV}/\text{POVTOT})$

Definitions:
UNEMP = number of unemployed persons in a state
UNEMPTOT = number of unemployed persons in the U.S.
POV = number of persons in a state living below the poverty line
POVTOT = number of persons in the U.S. living below the poverty line

Data Sources

Data Element	Source	Data Element Type
Unemployed persons. (UNEMP)	Dept. of Labor, "State and Metropolitan Area Employment and Unemployment July, 1983, Press Release No. USDL—409, with attached tables.	Workload factor.
Persons below the pov- poverty level. (POV)	Census Bureau, "1980 Census of Population, Characteristics of the Population" (1983)	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: None.

Comments: None.

Schools and Roads: Grants to States (10.665)

Program Objectives: To share receipts from National Forests with the states in which National Forests are located. These receipts may only be used for schools and roads, as provided in state law.

Federal Agency: Department of Agriculture, Forest Service

Governing Authority: Public Laws or Acts: Act of May 23, 1908, Public Law 60-136, as amended by the National Forest Management Act of 1976, Public Law 94-588 (16 USC §500). Allocation provisions are found at 16 USC §500. Funding authorization is continuous.

Financial Information: Account Identification: 12-9921-0-2-852 Obligations: FY 83 $132,600,679; FY 84 $235,695,496; and FY 85 $192,711,000

Formula Narrative

Funds are allocated to states with National Forest System lands and Puerto Rico. They, in turn, distribute these funds to counties.

States receive 25 percent of (1) the gross receipts from the sale of forest products, minerals and land use, (2) the value of credits to purchasers of timber for the costs they incurred in the construction of roads needed for the National Forest Transportation System; and (3) collections received for the cost of returning harvested areas to operational use.

The value of the gross receipts is reduced before the 25 percent calculation is made by an amount equal to that appropriated to purchase additional lands needed to minimize erosion and flood damage in specific areas.

Mathematical Structure:
STATE GRANT = .25*[(NFF + KV + PC) - SA]

Definitions:
NFF = National Forest Fund receipts from the sale of forest products, minerals and land use
KV = collections received for the cost of returning harvested timerland back into operation
PC = credits to purchasers of timber for costs incurred in the construction of roads needed for the National Forest Transportation System
SA = appropriations from National Forest Fund for purchase of lands to minimize erosion and flood damage

Data Sources

Data Element	Source	Data Element Type
National Forest Fund receipts. (NFF)	Treasury Dept., National Forest Fund Receipts, Account No. 125008.	N/A.
Knutsen-Vandenburg receipts. (KV)	Treasury Dept., Forest Service Cooperative Fund Account No. 12X8028.	N/A.
Purchaser credit for road construction. (PC)	USDA, Forest Service, "All Service Receipts Report," (unpublished).	N/A.
Special appropriation for purchase of lands. (SA)	Treasury Dept., Accounting Subsystem, National Forest Lands, under special acts. Account No. 125208.1.	N/A.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Department of Commerce

Source: GAO

Special Economic Development and Adjustment Assistance Program: Long-Term Economic Deterioration (11.307)

Program Objectives: To assist state and local areas in the development and implementation of strategies designed to arrest and reverse the problems associated with long-term economic deterioration.

Federal Agency: Department of Commerce, Economic Development Administration

Governing Authority: Public Laws or Acts: Public Works and Economic Development Act of 1965, Public Law 89-136, as amended (42 USC §§3121, et seq.). Eligibility provisions are found at 42 USC §3161. Funding authorization expired on September 30, 1985, but funds have been appropriated through September 30, 1987.

Administrative Rule: Eligibility provisions are in 13 CFR 308.

Financial Information: Account Identification: 13-2050-0-1-452
Obligations: FY 83 $14,313,000; FY 84 $17,680,000; and FY 85 est $16,500,000

Formula Narrative

Funds are allocated by formula to 6 federally-determined regions. Federal regional staff then award grants competitively to eligible applicants (such as local governments or public or private organizations representing a consortium of local governments) in designated redevelopment areas.

Eligibility Formula

"Designated redevelopment areas" are counties, or cities over 50,000, that are experiencing at least one of the following three problems: (1) Low per capita income (75 percent or less of the national average), (2) Unemployment of 12 percent or more over a 2-year period, or (3) Chronic distress, which is defined as below-average national growth in three of the four following areas:

a. absolute dollar change in per capita income over a 6-year period (1975 to 1981);
b. growth in population over a 6-year period (1976 to 1982);
c. rate of unemployment over a 4-year period (July 1979 through June 1984); and
d. rates of growth in employment over a 4-year period (June 1979 through June 1984).

No community is eligible for assistance if its per capita income exceeds 125 percent of the national average. All Indian reservations are eligible for assistance.

Allocation Formula

Funds are first divided into two "pots:" 50 percent to be allocated by formula to urban areas and 50 percent to rural areas. The definition for urban and rural areas are based on Metropolitan Statistical Areas (MSAs) and non-MSAs.

Allocation of the urban "pot" to the 6 EDA regions is based on three weighted factors: (1) a region's share of the population in all urban redevelopment areas (50 percent); (2) the average unemployment rate in urban redevelopment areas in a region as a proportion of the unemployment rate in all urban redevelopment areas in the U.S. (25 percent); and (3) the inverse of the average per capita income for all urban redevelopment areas in a region (25 percent).

Allocation of the rural "pot" uses the same formula but substitutes data for rural redevelopment areas for the urban data.

Once the two pots are allocated among the regions, the funds are combined and EDA regional staffs award competitive grants to urban and rural redevelopment areas for individual projects based on project merit and the degree of economic distress an areas exhibits.

Mathematical Structure:

Urban "Pot"

EDA REGIONAL SHARE = .50*(URBPOP/URBPOPTOT) + .25*(URBUE/URBUETOT) + .25*(1/PCIURB)

Rural "Pot"

EDA REGIONAL SHARE = .50*(RURPOP/RURPOPTOT) + .25*(RURUE/RURUETOT) + .25*(1/RURPCI)

Definitions:

URBPOP = urban population in all redevelopment areas in an EDA region
URBPOPTOT = urban population in all redevelopment areas in the U.S.
URBUE = average unemployment rate for urban redevelopment areas in an EDA region
URBUETOT = average unemployment rate for all urban development areas in the U.S.
PCIURB = average per capita income for all urban development areas in

an EDA region
RURPOP = rural population in all redevelopment areas in an EDA region
RURPOPTOT = rural population in all redevelopment areas in the U.S.
RURUE = average unemployment rate for rural redevelopment areas in an EDA region
RURUETOT = average unemployment rate for all rural development areas in the U.S.
PCIRUR = average per capita income for all rural development areas in an EDA region

Data Sources		
Data Element	**Source**	**Data Element Type**
Population and population growth. (URBPOP, RURPOP)	Census Bureau, based on data gathered for and given to ORS: data tape "Population Estimates for Functional General Purpose Governmental Units, from 1976 to 1982."	N/A.
Average unemployment rate. (URBUE, RURUE)	BLS, "Unemployment in State and Local Areas," data tape and microfiche based on monthly statistics for the period July 1979 to June 1984.	N/A.
Rate of growth in employment. (See Formula Narrative)	BLS, "Current Employment Statistics," Form 790 Series; data tape and microfiche prepared based on monthly statistics, for the period June 1979 to June 1984.	N/A.
Per capita income and absolute dollar change in per capita income. (PCIURB, PCIRUR)	Census Bureau, based on data gathered for and given to the Office of Revenue Sharing (ORS); data tape, "Per Capita Income Estimates for Functional General Purpose Governmental Units, from 1975 to 1981."	N/A.

Matching Requirements: Federal funds will cover up to 75 percent of program costs. Non-federal share may be cash or in-kind contributions.

Maintenance of Effort Requirement: None.

Comments: In FY 1986, 60 percent of the available funds were allotted to rural areas and 40 percent to urban areas.

Commercial Fisheries Research and Development (11.407)

Program Objectives: To promote state commercial fishery research and development.

Federal Agency: Department of Commerce, National Oceanic and Atmospheric Administration

Governing Authority: Public Laws or Acts: Commercial Fisheries Research and Development Act of 1964, Public Law 88-309, as amended (16 USC §§779-779f). Allocation provisions are found at 16 USC §779c. Matching provisions are found at 16 USC §779d(b). Statutory funding authorization expired on September 30, 1985, but funds have been appropriated through September 30, 1987. A new allocation formula was authorized in Public Law 99-659, but it does not take effect until October 1, 1987. Funding under that provision is authorized until September 30, 1989.

Code of Federal Regulations: 50 CFR 253.1-253.6.

Administrative Rule: Matching provisions are detailed in "NOAA Grant-in-Aid Handbook #22" (1977).

Financial Information: Account Identification: 13-1450-0-1-306
Obligations: FY 83 $4,000,000; FY 84 $4,000,000; and FY 85 $4,500,000

Formula Narrative

Allocations to states are based on their share of the three-year average value of (1) raw fish harvested and received, and (2) raw fish manufactured and processed. No state or territory may receive less than 0.5 percent or more than 6.0 percent of funds appropriated in any fiscal year.

Mathematical Structure:
STATE SHARE = (FISH + MFG)/SUM OF NUMERATOR

Definitions:
FISH = three-year average value of raw fish harvested and received in state
MFG = three-year average value (to the manufacturer) of raw fish manufactured and processed in state

Data Sources		
Data Element	**Source**	**Data Element Type**
Three-year average value of raw fish harvested and received. (FISH)	National Marine Fisheries Service, NOAA, "Fisheries of the United States 1984," and unpublished sources, for the period 1979–81.	Workload factor.
Three-year average of value (to the manufacturer) of fish manufactured and processed. (MFG)	National Marine Fisheries Service, NOAA, "Fisheries of the United States 1984," and unpublished sources, for the period 1979–81.	Workload factor.

Matching Requirements: Federal funding is not to exceed 75 percent of approved project costs.

Maintenance of Effort Requirement: No.

Comments: None.

Coastal Zone Management Program Administration (11.419)

Program Objectives: To assist states in developing and continuing programs to enhance and protect the coastal environment.

Federal Agency: Department of Commerce, National Oceanic and Atmospheric Administration

Governing Authority: Public Laws or Acts: Marine Resources and Engineering Development Act of 1966, Public Law 89-454 as amended by the Coastal Zone Management Act of 1972, Public Law 92-583, as amended (16 USC §§1451-1464). Allocation provisions are found at 16 USC §1455. Funding authorization for this program expires September 30, 1991.

Code of Federal Regulations: Allocation and matching provisions are in 15 CFR 927.1.

Financial Information: Account Identification: 13-1451-0-1-302
Obligations: FY 83 $5,640,000; FY 84 $15,789,000; and FY 85 $40,897,000

Formula Narrative

Allocations among states are based on a state's share of the following two weighted factors: (1) population in coastal counties (40 percent), and (2) miles of coastal shoreline (60 percent). "Coastal states" are states that border on the Atlantic, Pacific, or Arctic Ocean, the Gulf of Mexico, Long Island Sound, or one or more of the Great Lakes. The term "coastal state" also includes Puerto Rico, the Virgin Islands, Guam, and American Samoa. There is a statutory provision that no eligible state may receive less than 1 percent, nor more than 10 percent, of the appropriated funds. This resulted in an administrative minimum of $400,000 and a maximum of $1,750,000.

Mathematical Structure: STATE SHARE = .60*(SHORE/SHORETOT) + .40*(POP/POPTOT)

Definitions:
SHORE = a state's miles of coastal shoreline
SHORETOT = total coastal shoreline for all eligible states
POP = a state's population in its coastal counties
POPTOT = total population in coastal counties in all eligible states

Data Sources

Data Element	Source	Data Element Type
Coastal shoreline. (SHORE)	National Ocean Service, historical unpublished data from a survey completed in the 1940's.	Workload factor.
Population in coastal counties. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80–1-A1 (1983).	Workload factor.

Matching Requirements: Federal funds may be used for up to 80 percent of program costs.

Maintenance of Effort Requirement: No.

Comments: None.

Coastal Energy Impact Program: Formula Grants (11.421)

Program Objectives: To provide financial assistance to coastal states to plan and construct public facilities and services and for the amelioration of environmental and recreational loss attributable to Outer Continental Shelf (OCS) energy development activities.

Federal Agency: Department of Commerce, National Oceanic and Atmospheric Administration

Governing Authority: Public Laws or Acts: Marine Resources and Engineering Development Act of 1966, Public Law 89-454, as amended by the Coastal Zone Management Act of 1972, Public Law 92-583, as amended by the Coastal Zone Management Act Amendments of 1976, Public Law 94-370 (16 USC §§1451-1464). Allocation provisions amended by the Outer Continental Shelf Lands Act Amendments of 1978, Public Law 95-372, Section 501(a). Allocation provisions are found at 16 USC §1456a(b). Funding is authorized through September 30, 1988.

Code of Federal Regulations: Allocation provisions are detailed in 15 CFR 931.125.

Financial Information: Account Identification: 13-1451-0-1-452
Obligations: FY 83 $1,157,000; FY 84 $325,180; and FY 85 est $175,000

Formula Narrative

Grants are allocated to states based on a state's proportional share of nationwide outer continental shelf (OCS) activities in the preceding fiscal year measured by the following weighted indices: (1) OCS acreage newly leased in previous year (50 percent); (2) OCS oil and natural gas landed (25 percent); and (3) OCS oil and natural gas produced (25 percent). Eligible states receive a minimum of 2 percent and a maximum of 37.5 percent of the appropriation.

Mathematical Structure:

$$\text{STATE SHARE} = .50^*(L/LTOT) + .25^*(P/PTOT) + .25^*(R/RTOT)$$

Definitions:

L = outer continental shelf (OCS) acreage newly leased by federal government in previous year that is adjacent to state
LTOT = OCS acreage newly leased by federal government in previous year that is adjacent to all states
P = volume of oil and natural gas produced in previous year from federal OCS acreage that is adjacent to state
PTOT = volume of oil and natural gas produced in previous year from

federal OCS acreage that is adjacent to all states
R = volume of oil and natural gas produced from federal OCS acreage that is first landed in state previous year
RTOT = volume of oil and natural gas produced from federal OCS acreage that is first landed in state in previous year

Data Sources		
Data Element	**Source**	**Data Element Type**
Outer continental shelf acreage leased by federal government. (L)	U.S. Geological Service, "Outer Continental Shelf Statistics," updated annually.	Workload factor.
Volume of oil and gas produced from federal OCS acreage. (P)	U.S. Geological Service, "Sale or Lease Production," updated annually.	Workload factor.
Volume of oil and gas first landed on the shore from federal OCS acreage. (R)	U.S. Geological Service, New Orleans Regional Office, updated annually.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirements: No.

Comments: None.

Coastal Energy Impact Program: Planning Grants (11.422)

Program Objectives: To assist the states and units of local government to study and plan for the social, economic and environmental consequences on the coastal zone of new or expanded energy facilities; to encourage rational and timely planning and management of energy facility siting and energy resource development.

Federal Agency: Department of Commerce, National Oceanic and Atmospheric Administration

Governing Authority: Public Laws or Acts: Marine Resources and Engineering Development Act of 1966, Public Law 89-454, as amended by the Coastal Zone Management Act of 1972, Public Law 92-583, as amended (16 USC §§1451-1464). Allocation provisions are found at 16 USC §1456a(c). Funding authorization expired on September 30, 1985.

Code of Federal Regulations: Allocation provisions are detailed in 15 CFR 931.35.

Financial Information: Account Identification: 13-4315-0-3-452
Obligations: FY 83 $4,735,000; FY 84 $245,000; and FY 85 $0

Formula Narrative

Allocation is based on each state's share of five factors, with each given an equal weight (20 percent): Outer Continental Shelf (OCS) activity (defined as existing OCS oil and gas production and the number of future lease sales, with future lease sales given twice the weight of OCS production); coal activity (defined as tons of coal processed by existing parts and planned coal port expansion, with planned capacity given twice the weight of existing port throughput); energy facilities in coastal areas, other than OCS and coal (defined as the level of employment in these facilities and the number of acres covered by these facilities); the mileage of shoreline; and the population in coastal counties. Each eligible state and territory is guaranteed a minimum allotment of $75,000. No state may receive more than $1,000,000.

Mathematical Structure:
STATE SHARE = .2*(OCS/OCSTOT) + .2*(COAL/COALTOT) + .2*(FAC/FACTOT) + .2*(SHORE/SHORETOT) + .2*(POP/POPTOT)

where,

OCS = OIL +(2*LEASE)
COAL = PORTS + (2*PLAN)
FAC = EMPLOY + ACRE

Definitions:
OCS = existing and future activity on outer continental shelf for state
OCSTOT = existing and future activity on outer continental shelf for nation
OIL = oil and gas production in federally leased OCS adjacent to state
LEASE = number of future lease sales planned for OCS areas adjacent to state
COAL = existing and future coal port activity for state
COALTOT = existing and future coal port activity for nation
PORTS = thousands of tons of coal processed by coal ports in state
PLAN = planned future capacity of coal ports in state (in tens of millions of tons)
FAC = activity in energy-related facilities (other than OCS and coal) under construction or planned, in coastal areas of a state
FACTOT = activity in energy-related facilities (other than OCS and coal) under construction or planned, in coastal areas of all states
EMPLOY = level of employment in energy facilities under construction or planned in coastal areas in state
ACRE = acreage of energy facilities under construction or planned in coastal areas in state
SHORE = miles of shoreline in state
SHORETOT = miles of shoreline in nation
POP = coastal county population in state
POPTOT = coastal county population in nation

Data Sources		
Data Element	**Source**	**Data Element Type**
Volume of gas and oil produced from federal OCS acreage. (OCS, OIL)	U.S. Geological Service, "Sale or Lease Production," (annual unpublished report)	Workload factor.
Number of planned future lease sales. (OCS, LEASE)	Bureau of Land Management, "Five Year OCS Oil and Gas Leasing Schedule" (updated annually).	Workload factor.
Tons of coal processed by coal ports (in thousands). (COAL, PORTS)	Corps of Engineers, "Waterborne Commerce of the U.S.," (1978).	Workload factor.
Planned capacity of coal ports (in tens of millions tons). (COAL, PLAN)	Dept. of Energy, "Interim Report of the Interagency Coal Export Task Force," (January 1981).	Workload factor.
Estimated employment in energy facilities in coastal areas (other than OCS lease sales and coal ports) under construction or planned. (FAC, EMPLOY)	NOAA, Office of Coastal Zone Management, unpublished inventory (updated annually).	Workload factor.
Estimated size (in acres) of coastal area energy facilities under construction or planned. (FAC, ACRE)	NOAA, Office of Coastal Zone Management, unpublished inventory (updated annually).	Workload factor.
Shoreline mileage. (SHORE)	NOAA, National Ocean Service, unpublished survey conducted in 1940.	Workload factor.
Coastal county population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80−1-A1 (1982).	Workload factor.

Matching Requirements: The federal share may not exceed 70 percent of total project costs.

Maintenance of Effort Requirement: Yes.

Comments: None.

Department of Health and Human Services

Source: Lou Jones/Uniphoto

80

State Health Planning and Development Agencies (13.293)

Program Objectives: To provide support to state health planning agencies conducting physical and mental health planning and development functions.

Federal Agency: Department of Health and Human Services, Health Resources and Services Administration, Bureau of Health Maintenance Organizations

Governing Authority: Public Laws or Acts: Public Health Service Act, Public Law 78-410, Title XV, Part C, Sections 1521-1526, as added by the National Health Planning and Resources Development Act of 1974, Public Law 93-641, Section 3, as amended (42 USC §§300m-m-6). Allocation and matching provisions are found at 42 USC §300m-4. Funding authorization expired September 30, 1982, but unobligated balances may be used through September 30, 1987.

Code of Federal Regulations: Allocation provisions are found at 42 CFR 123.204.

Financial Information: Account Identification: 75-0350-0-1-550
Obligations: FY 83 $19,008,000; FY 84 $19,008,000; and FY 85 est $19,008,000

Formula Narrative

Funds are distributed to the state health planning agencies designated by the governor. Territories and the District of Columbia are eligible to receive funds.

Up to one percent of funds may be set aside for federal evaluation projects. Funds are allocated among states based on their proportionate share of the national population. No state share may be less than 1.25 percent of the funds allocated by the formula. This includes the District of Columbia and Puerto Rico. Other territories may not receive less than 0.5 percent of the funds allocated by formula.

Mathematical Structure:
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = U.S. population

Data Sources		
Data Element	**Source**	**Data Element Type**
Population. (POP)	Census Bureau, "Population Estimates and Projections, July 1, 1983," Series P-25, No. 951; figures for Puerto Rico and outlying areas are from Census' "Estimates of the Population of Puerto Rico and outlying areas, July 1, 1983," Series P-25, No. 943.	Workload factor.

Matching Requirements: The maximum federal share is 75 percent of program costs.

Maintenance of Effort Requirement: Yes.

Comments: None.

Health Planning: Health Systems Agencies (13.294)

Program Objectives: To provide for effective health resources planning at the area level to meet problems in health care delivery systems, maldistribution of health care facilities and manpower, and increasing cost of health care.

Federal Agency: Department of Health and Human Services, Public Health Service, Health Resources and Services Administration

Governing Authority: Public Laws or Acts: Public Health Service Act, Public Law 78-410, Title XV, Part B, Sections 1511-1516, as amended by the National Health Planning and Resources Development Act of 1974, Public Law 93-641, Section 3, as amended (42 USC §§3001-1-3001-5). Allocation provisions are found at 42 USC §3001-5. Funding authorization has expired, but funds have been appropriated through September 30, 1987.

Financial Information: Account Identification: 75-0350-0-1-550
Obligations: FY 83 $37,353,000; FY 84 $37,406,591; and FY 85 est $37,514,820

Formula Narrative (FY 1985)

Funds are distributed to 141 health service agencies (HSAs) and to U.S. territories. Some state agencies function as an HSA. The HSA performs a planning function for each health service area. HSA boundaries are synonomous with state boundaries in nine states and use county or township boundaries in remaining states.

Up to one percent of available funds may be set aside for Departmental evaluation projects. Remaining funds are to be allocated to HSAs at the rate of 60 cents per capita. In addition, $1.00 is provided for each $1.00 contributed to the HSA from non-federal sources without conditions placed on its use (primarily state funds). The FY 1985 appropriation was not sufficient to fully fund the formula at these reimbursement rates; therefore the agency reduced the reimbursement rates to 20.4 cents per capita and an additional 34 cents per each dollar of non-federal contributions received, to insure that allocations summed to the amounts appropriated.

In addition, maximum and minimum allocations are placed on the amount of funds HSAs can receive from each formula factor. The population factor must provide at least $100,000, but not more than $3,750,000 to each HSA. The non-federal funds factor may allocate no more than $200,000, or 25 cents per capita, whichever is greater to each HSA. The Secretary can also place a discretionary maximum on the amount of funds received by an HSA based on a review of an HSA's proposed budget and plan.

Mathematical Structure:
HSA ALLOTMENT = (HSAPOP * RATE1) + (FUNDS * RATE2)

Definitions:
HSAPOP = population of local Health Systems Area
RATE1 = the federal reimbursement rate per person in FY 1985 was $0.204
FUNDS = non-federal funds contributed to an HSA for health planning purposes
RATE2 = the federal reimbursement rate per non-federal dollar in FY 1985 was $0.34

Data Sources

Data Element	Source	Data Element Type
Population. (HSAPOP)	Census Bureau, "Population Estimates for Counties and Incorporated Places, July 1, 1983," Series P-25 No. 82-1-5c through 82-50-5c; and Census, "Estimates of the Population of Puerto Rico and the Outlying Areas, July 1, 1983," Series P-25, No. 960.	Workload factor.
Federal reimbursement rate.(RATE1)	Determined by HHS.	Unit cost factor.
Non-federal funds. (FUNDS)	HHS, collected from state and local health service agencies (annual, unpublished).	Incentive factor.
Federal reimbursement Rate. (RATE2)	Determined by HHS.	Incentive factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: The agency has reduced the reimbursement rates so as to maintain the statutory $0.60 to $1.00 ratio (i.e., .204/.340 = 0.60/1.00)

Head Start (13.600)

Program Objectives: To provide comprehensive health, educational, nutritional, social and other services primarily to preschool economically disadvantaged children, including Indian children on federally-recognized reservations and children of migratory workers, and their families; and to involve parents in activities with their children that will attain overall social competence.

Federal Agency: Department of Health and Human Services, Office of Human Development Services Administration for Children, Youth and Families

Governing Authority: Public Laws or Acts: Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title VI, Subtitle A, Chapter 8, as amended by the Human Services Reauthorization Act, Public Law 98-558 (42 USC §§9831 et seq.). Allocation provisions are found at 42 USC §9835. Matching provisions are found at 42 USC §9853(b). Funding is authorized through September 30, 1990.

Financial Information: Account Identification: 75-1636-0-1-506
Obligations: FY 83 $912,000,000; FY 84 $995,750,000; and FY 85 $1,075,059,000

Formula Narrative

Grantees were initially selected via federal agency discretion and may include non-profit organizations. State or local governments may or may not be recipients of funding. Funds are allocated among states by formula and are then distributed to eligible grantees. Thirteen percent of each year's appropriation is set aside for discretionary purposes, Indian tribes, territories, migrants, training and technical assistance, research, demonstration, evaluation, and special services to the handicapped. The balance is allocated based on state-wide data as follows: two-thirds is based on a state's share of the number of children (ages birth through 5) in families below the poverty line and one-third is based on a state's share of the number of AFDC children (ages birth through 18). A hold harmless provision insures state allotments do not fall below their FY 1981 allocation.

Mathematical Structure:
STATE SHARE = 2/3 * (POV05/POV05TOT) + 1/3 * (AFDC/AFDCTOT)

Definitions:
POV05 = number of children in a state, age birth through 5, in families with incomes below the poverty line

POV05TOT = total number of children in all states, age birth to 5, in families with incomes below the poverty line
AFDC = number of children, ages birth through 18, receiving Aid to Families with Dependent Children in a state
AFDCTOT = total number of children, ages birth through 18, receiving AFDC in all states

Data Sources

Data Element	Source	Data Element Type
Number of children, age birth through 5, in a family below the poverty line. (POV05)	Census Bureau, "1980 Census of Population, Detailed Population Characteristics," PC80-1-D1 (1984).	Workload factor.
Number of children ages birth through 18 receiving Aid to Families with Dependent Children. (AFDC)	SSA Form 3637, "Statistical Report on Recipients Under Public Assistance Programs," (unpublished, updated quarterly).	Workload factor.

Matching Requirements: Grantees are required to provide 20 percent of the total cost of the program, although this may be waived (as in the case of grantees serving migrants). Matching shares may be in cash or in-kind fairly evaluated.

Maintenance of Effort Requirement: Yes.

Comments: None.

86

Runaway Youth (13.623)

Program Objectives: To provide support for centers for the shelter of runaway and homeless youth and for counseling of troubled youth and their families. In addition, four national activities are supported: a national hotline, networking, research and demonstration and training and technical assistance.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration for Children, Youth and Families

Governing Authority: Public Laws or Acts: Juvenile Justice and Delinquency Prevention Act of 1974, Sections 301-331, Public Law 93-415, as amended (42 USC §§5701 et seq.). Allocation provisions are found at 42 USC §5711. Matching provisions are found at 42 USC §5716. Funding is authorized through September 30, 1989.

Code of Federal Regulations: Matching provisions are found at 45 CFR 1351.13.

Administrative Rule: 50 FR 11100 (1984).

Financial Information: Account Identification: 75-1636-0-1-506 Obligations: FY 83 $21,500,000; FY 84 $23,250,000; and FY 85 $23,250,000

Formula Narrative

The Secretary determines how much of the total funds will be allocated by formula to support shelters and counseling for runaway youth, with the remainder set aside for other program objectives. In FY 1984, about seventy-eight percent of the funds was allocated by formula. The formula allocates funds to state areas, Puerto Rico and Guam, in proportion to their share of the nation's population under 18 years of age. Grants are available to state and local governments or to non-profit organizations. Competition, managed by HHS, determines which of these agencies within the state receive grants.

Mathematical Structure:
STATE SHARE = POP18/POP18TOT

87

Data Sources		
Data Element	**Source**	**Data Element Type**
Population under age 18. (POP18)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 970 (1984).	Workload factor.

Matching Requirements: The federal share may not exceed 90 percent. The non-federal share may be in cash or in-kind contributions.

Maintenance of Effort Requirement: No.

Comments: None.

Child Abuse and Neglect Prevention and Treatment (13.628)

Program Objectives: To assist state, local, and voluntary agencies and organizations to strengthen their capabilities to develop programs that will prevent, identify, and treat child abuse and neglect.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration for Children, Youth and Families

Governing Authority: Public Laws or Acts: The Child Abuse Prevention and Treatment Act, Public Law 93-247, as amended (42 USC §§5101 et seq.). Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 1340, Chapter XIII, Subchapter E. Allocation provisions are found at 45 CFR 1340.11.

Administrative Rule: 48 FR 3702 (1983).

Financial Information: Account Identification: 75-1636-0-1-506
Obligations: FY 83 $6,720,000; FY 84 $6,720,000; and FY 85 $6,000,000

Formula Narrative

Funds are allocated to states and territories. States provide grants and contracts to state and local agencies, and non-profit organizations.

Eligible states and territories receive a minimum allotment established by the Commissioner of the Administration for Children, Youth and Families in HHS (for FY 1984, this minimum was $35,000 per state). Remaining funds are allocated in proportion to each state's share of the number of children under 18 years of age in the U.S.

Mathematical Structure:
STATE SHARE = POP18/POP18TOT

Definitions:
POP18 = number of children in a state under age 18
POP18TOT = number of children in the U.S. under age 18

Data Sources

Data Element	Source	Data Element Type
Population under age 18. (POP18)	Census Bureau, "Population Estimates and Projections," Series P-25 (September 1983).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: Beginning in FY 1985, an additional $3,000,000 was appropriated for this program to meet additional objectives set forth in the "Baby Doe" amendments (Public Law 98-457) to assure the identification, reporting and investigation of disabled infants with life-threatening conditions. Allocations are made using the same formula with a lower minimum allocation level, reflecting the smaller size of this subprogram component.

Administration on Developmental Disabilities: Basic Grants (13.630A)

Program Objectives: To plan and conduct activities which increase and support the independence, productivity and integration into the community of persons with developmental disabilities.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration on Developmental Disabilities

Governing Authority: Public Laws or Acts: Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963, Public Law 88-164, Title I, Part B, Sections 121-130; as added by the Developmental Disabilities Act of 1984, Public Law 98-527, Section 2 (42 USC §§6021-6030).Allocation provisions are found at 42 USC §6025. Matching provisions are found at 42 USC §6002. Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 1385 and 1386.

Financial Information: Account Identification: 75-1636-0-1-506 Obligations: FY 83 $43,180,000; FY 84 $43,750,000; and FY 85 $50,250,000

Formula Narrative

Allocations are made to states and territories. The formula allocates funds to states based on their proportionate share of two weighted factors: (1) financial need, which is weighted 2/3, and (2) need for services, which is weighted 1/3. "Financial need" is measured using total state resident income (obtained by multiplying state per capita income by population). "Need for services" is measured by the "potential" number of program participants (obtained by multiplying (a) the ratio of "disabled dependents" aged 18 to 65, to total population, aged 18 to 65 by (b) total state population).

If the appropriation is greater than $47 million, the states, the District of Columbia and Puerto Rico are guaranteed a minimum allocation of $300,000; eligible territories, $160,000. If the appropriation is $47 million or less, the minimum is reduced to $250,000 for the states, the District and Puerto Rico and to $100,000 for each eligible territory.

Mathematical Structure:
STATE SHARE = 2/3 * (POP * PCI)/SUM OF NUMERATOR + 1/3 * [(DDPOP/POP18-65) * POP]/SUM OF NUMERATOR

Definitions:

POP = state population

PCI = a 3-year average of a state's per capita income

DDPOP = number of disabled dependents, 18 to 65, receiving social security disability benefits

POP18-65 = population in a state between the ages of 18 to 65

Data Sources

Data Element	Source	Data Element Type
Population. (POP, POP18-65)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 930 (April 1983) (for states); and Series P-25, No. 919 August 1982) (for territories).	Workload factor.
Number of "disabled dependents." (DDPOP)	Social Security Administration "Social Security Bulletin, Annual Statistical Supplement," Table 123 (1981).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982).	Fiscal capacity factor.

Matching Requirements: Federal share is up to 75 percent of the necessary costs as determined by the Secretary (in poverty area projects, the federal share may increase to 90 percent).

Maintenance of Effort Requirement: Yes.

Comments: None.

Administration on Developmental Disabilities: Protection and Advocacy (13.630B)

Program Objectives: To provide funds to support a system in each state to protect the legal and human rights of persons with developmental disabilities.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration on Developmental Disabilities

Governing Authority Public Laws or Acts: Mental Retardation Facilities and Community Mental Health Centers Construction Act of 1963, Public Law 88-164, Title I, Part B, Sections 121-130; as added by the Developmental Disabilities Act of 1984, Public Law 98-527, Section 2 (42 USC §§6042, 6043). Allocation provisions are found at 42 USC §6042(c). Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 1385 and 1386.

Financial Information: Account Identification: 75-1636-0-1-506
Obligations: FY 83 $7,320,000; FY 84 $8,400,000; and FY 85 $13,750,000

Formula Narrative

Allocations are made to state and territorial areas; grants are made to state agencies or directly to private, non-profit corporations. The formula allocates funds to state areas based on their proportionate share of two weighted factors: (1) financial need, which is weighted 2/3, and (2) need for services, which is weighted 1/3. "Financial need" is measured using total state resident income (obtained by multiplying state per capita income by population). "Need for services" is measured by the "potential" number of program participants obtained by multiplying (a) the ratio of "disabled dependents" aged 18 to 65, to total population, aged 18 to 65 by (b) total state population.

If the appropriation is $11 million or more, then the states, the District of Columbia and Puerto Rico are guaranteed a minimum allocation of $150,000; for each eligible territory, $80,000. If the appropriation is less than $11 million, the minimum is reduced to $50,000 for the states, the District and Puerto Rico (the law does not provide a minimum in this situation for the territories).

Mathematical Structure:
STATE SHARE = 2/3 * (POP * PCI)/SUM OF NUMERATOR +
1/3 * [(DDPOP/POP18-65) * POP]/SUM OF NUMERATOR

Definitions:
POP = state population
PCI = a 3-year average of a state's per capita income
DDPOP = number of disabled dependents, 18 to 65, receiving social security disability benefits
POP18-65 = population in a state between the ages of 18 to 65

Data Sources

Data Element	Source	Data Element Type
Population. (POP, POP18-65)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 930 (April 1983) (for states); and Series P-25, No. 919 August 1982) (for territories).	Workload factor.
Number of "disabled dependents." (DDPOP)	Social Security Administration "Social Security Bulletin, Annual Statistical Supplement," Table 123 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982).	Fiscal capacity factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: None.

Older Americans Programs: Planning, Coordination, Evaluation, and Administration of State Plan (13.633A)

Program Objectives: To fund state Agencies on Aging for the cost of administering state plans. Administration includes: preparing the plan; evaluating activities; collecting, analyzing and disseminating information about the need for services; providing training; and carrying out demonstration projects.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration on Aging

Governing Authority: Public Laws or Acts: The Older Americans Act of 1965, Public Law 89-73, as amended by the Comprehensive Older Americans Act Amendments of 1978, Public Law 95-478, and the Older Americans Act Amendments of 1984, Public Law 98-459 (42 USC §§3021-3030g). Allocation provisions are found at 42 USC §3028(b). See also 42 USC §3017. Matching provisions are found at 42 USC §3028(a). Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 1321 (1984). Allocation provisions are found at 45 CFR 1321.181 (1984). Matching provisions are found at 45 CFR 1321.199, 1321.201 and 1321.203 (1984).

Financial Information: Account Identification: 75-1636-0-1-506 Obligations: FY 83 $21,673,000; FY 84 $23,617,898; and FY 85 $0 (NOTE: see "Comments" section below)

Formula Narrative

Funds were distributed by formula to a single designated agency in the states and territories. Beginning in FY 1985, this program became a set aside of funds from two other Older American programs and no longer used a formula for funding allocations. (See "Comments" section)

Through FY 1985, up to 1 percent of funds appropriated for programs for Older Americans, including this program, (or $1 million, whichever was greater) was set aside for program and project evaluations. Effective in FY 1986, however, the evaluation set-aside was reduced to not more than 0.1 percent of appropriated funds (or $300,000, whichever was less).

Remaining funds were allocated in proportion to each jurisdiction's population 60 years of age or older. The minimum allotment for states, the District of Columbia and Puerto Rico was 0.5 percent, $300,000 or the jurisdiction's FY 1975 allocation, whichever was greater. For the remaining territories, the minimum allocation was 0.25 percent, $75,000 or their FY 1975 allocation, whichever was greater.

Mathematical Structure:
STATE SHARE = POP60/POP60TOT

Definitions:
POP60 = a state's population 60 years of age or older
POP60TOT = total U.S. population 60 years of age or older

Data Sources

Data Element	Source	Data Element Type
Population 60 years of age or older. (POP60)	Census Bureau, "Population Estimates and Projections," Series P-25 (1983).	Workload factor.

Matching Requirements: Federal share was not more than 75 percent of the cost of administration of each state's plan. State or local public agencies must provide at least one-quarter of their share in the form of allowable costs or local agency in-kind contributions.

Maintenance of Effort Requirement: Yes.

Comments: Beginning in FY 1985 this program is funded by a set-aside from funds appropriated for Support Services and Nutrition Services (see 13.633B and 13.635). States may use up to 5 percent or $300,000 (whichever is greater) of the combined amount they receive under these programs for administrative costs.

Older Americans Programs: Supportive Services (13.633B)

Program Objectives: To provide assistance to state and substate area agencies for support of programs for older persons via statewide planning, and area planning and provision of social services, including multipurpose senior centers.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration on Aging

Governing Authority: Public Laws or Acts: The Older Americans Act of 1965, Public Law 89-73, as amemded by the Comprehensive Older Americans Act Amendments of 1978, Public Law 95-478 and the Older Americans Act Amendments of 1984, Public Law 98-459 (42 USC §§3021-3030g). Allocation provisions are found at 42 USC §3024. See also 42 USC §3017. Matching provisions are found at 42 USC §3029. Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 1321.199 - 1321.203.

Financial Information: Account Identification: 75-1636-0-1-506
Obligations: FY 83 $240,869,000; FY 84 $269,793,511; and FY 85 $238,931,172

Formula Narrative

Funds are distributed to agencies on aging in the states and territories.

Through FY 1985, up to 1 percent of funds appropriated for programs for older Americans, including this program,(or $1 million, whichever is greater) is set aside for program and project evaluations. Effective in FY 1986, however, the evaulation set-aside is reduced to not more than 0.1 percent of appropriated funds (or $300,000, whichever is less).

Remaining funds are allotted in proportion to each state's population 60 years of age or older. In FY 1984, the minimum allocation for states and Puerto Rico was .5 percent of the total appropriation, or their FY 1978 allocation, whichever was greater. For Guam, the Virgin Islands and the Trust Territory of the Pacific, the minimum was 0.25 percent or their FY 1978 allocation; for American Samoa and the Northern Marianas were guaranteed 0.0625 percent or their FY 1978 allocation, whichever was greater.

In FY 1985, the minimum allocation was changed. The minimum allocation for states and Puerto Rico is 0.5 percent or their FY 1984 allocation, whichever is greater. Guam, the Virgin Islands and the Trust Territory of the Pacific, are guaranteed 0.25 percent or their FY 1984 allocation, whichever is greater; American Samoa and the Northern Marianas receive not less than 0.0625 percent or their FY 1984 allocation, whichever is greater.

Beginning in FY 1985, costs for administering the state plan are not separately funded (see 13.633A). The amount of funds available to states and territories for administrative costs depends on whether the combined amount appropriated for this program and the Nutrition Services program (13.635) exceeds $800 million. If it does not, then states and Puerto Rico may set aside 5 percent of the total of the two programs for administrative purposes (or $300,000, whichever is greater). Territories may also set aside 5 percent (or $75,000, whichever is greater). If the combined amounts appropriated exceeds $800 million, then the base rises from $300,000 to $500,000 for states and Puerto Rico, and from $75,000 to $100,000 for the territories.

States must also develop a formula for substate allocation of funds, based on federal criteria, and update such formula at least every three years.

Mathematical Structure:
STATE SHARE = POP60/POP60TOT

Definitions:
POP60 = a state's population 60 years of age or older
POP60TOT = total U.S. population 60 years of age or older

Data Sources

Data Element	Source	Data Element Type
Population 60 years of age or older. (POP60)	Census Bureau, "Population Estimates and Projections," Series P-25 (1983).	Workload factor.

Matching Requirements: Federal share is 85 percent for the cost of Supportive Services. State and local governments must provide at least one-quarter of the 15 percent match in own-source funds; the remainder may be in-kind. Federal share of administrative costs is 75 percent.

Maintenance of Effort Requirement: Yes.

Comments: None.

Older Americans Programs: Nutrition Services (13.635)

Program Objectives: To provide older Americans with low cost nutritious meals, and with appropriate nutrition education and other appropriate nutrition services. Meals may be served in a congregate setting or delivered to the home.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration on Aging

Governing Authority: Public Laws or Acts: Older Americans Act of 1965, Public Law 89-73, as amended by the Comprehensive Older Americans Act Amendments of 1978, Public Law 95-478 and the Older Americans Act Amendments of 1984, Public Law 98-459 (42 USC §§3021 - 3030g). Allocation provisions found at 42 USC §3024(a). See also 42 USC §3017. Matching provisions are found at 42 USC §§3024(d) and 3029(b). Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 1321. Allocation provisions found in 45 CFR 1321.181. Matching provisions are found in 45 CFR 1321.199, 1321.201 and 1321.203.

Financial Information: Account Identification: 75-1636-0-1-500 Obligations: Congregate Nutrition Services: FY 83 $319,074,000; FY 84 $279,679,548; and FY 85 $275,000,000. Home Delivered Nutrition Services: FY 83 $62,025,000; FY 84 $87,599,708; and FY 85 $93,000,000

Formula Narrative

Congress separately appropriates funds for meals served in congregate settings and meals delivered to the homes of eligible recipients. However, funds are allocated to a single designated agency in the states and territories through a single formula.

Through FY 1985, up to 1 percent of funds appropriated for programs for older Americans, including this program, (or $1 million, whichever is greater) is set aside for program and project evaluations. Effective in FY 1986, however, the evaulation set-aside is reduced to not more than 0.1 percent of appropriated funds (or $300,000, whichever is less).

Funds are allotted in proportion to each state's population 60 years of age or older. In FY 1984, the minimum allocation for states and Puerto Rico was .5 percent of the total appropriation, or their FY 1978 allocation, whichever was greater. For Guam, the Virgin Islands and the Trust Territory of the Pacific, the minimum was 0.25 percent (or their FY 1978 allocation, whichever was greater); for American Samoa and the

Northern Marianas were guaranteed 0.0625 percent (or their FY 1978 allocation, whichever was greater).

In FY 1985, the minimum allocation was changed. The minimum allocation for states and Puerto Rico is 0.5 percent or their FY 1984 allocation, whichever is greater. Guam, the Virgin Islands and the Trust Territory of the Pacific, are guaranteed 0.25 percent (or their FY 1984 allocation, whichever is greater); American Samoa and the Northern Marianas receive not less than 0.0625 percent (or their FY 1984 allocation, whichever is greater).

Beginning in FY 1985, costs for administering the state plan are not separately funded (see 13.633A). The amount of funds available to states and territories for administrative costs depends on whether the combined amount appropriated for this program and the Supportive Services program (13.633B) exceeds $800 million. If it does not, then states and Puerto Rico may set aside 5 percent of the total of the two programs for administrative purposes (or $300,000, whichever is greater). Territories may also set aside 5 percent (or $75,000, whichever is greater). If the combined amounts appropriated for the two programs exceeds $800 million, then the base rises from $300,000 to $500,000 for states and Puerto Rico, and from $75,000 to $100,000 for the territories.

Mathematical Structure:
STATE SHARE = POP60/POP60TOT

Definitions:
POP60 = a state's population 60 years of age or older
POP60TOT = total U.S. population 60 years of age or older

Data Sources

Data Element	Source	Data Element Type
Population 60 years of age or older. (POP60)	Census Bureau, "Population Estimates and Projections," Series P-25 (1983).	Workload factor.

Matching Requirements: Federal share is up to 85 percent for the cost of Nutrition Services. State or local public agencies may provide up to one-quarter of their share in allowable costs or local agency in-kind contributions.

Maintenance of Effort Requirement: Yes.

Comments: None.

Child Welfare Services: State Grants (13.645)

Program Objectives: To establish, extend, and strengthen child welfare services provided by state and local public welfare agencies in order to enable children to remain in their own homes, or, where that is impossible, to provide alternative permanent homes for them.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration for Children, Youth and Families

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title IV, as added by Social Security Amendments of 1967, Public Law 90-248, Title II, Section 240(c), and the Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272 (42 USC §§620-625 and §§627-628). Allocation provisions are found at 42 USC §621. Matching provisions are found at 42 USC §623. Funding authorization is continuous.

Code of Federal Regulations: 45 CFR 1357.

Financial Information: Account Identification: 75-1634-0-1-506
Obligations: FY 83 $156,326,000; FY 84 $165,000,000; and FY 85 est $200,000,000

Formula Narrative

Funds are allocated to states, Puerto Rico, the Virgin Islands, Guam, the Northern Mariannas and eligible Indian tribal organizations.

A fixed dollar amount of $70,000 is allotted to each state and territory. Remaining funds are distributed based on each state's and territory's proportionate share of the national population under age 21, multiplied by a per capita income adjustment factor (called an allotment percentage). The allotment percentage cannot exceed 70 percent, nor be less than 30 percent. The allotment percentage is fixed at 70 percent for eligible territories.

Allotments for Indian tribal organizations are set aside from a state's allotment. The amount set aside is calculated by increasing a state's per child allotment by 40 percent and multiplying this figure by the number of Indian children under age 21.

Mathematical Structure:
STATE SHARE = POP21 * [1 - (.5*(PCI/PCIUS))]/SUM OF NUMERATOR
INDIAN TRIBAL SET-ASIDE (within-state allotments) = IPOP21 * [1.4*(SA/POP21)]

Definitions:
POP21 = state population under age 21
PCI = 3-year average of state per capita income
PCIUS = 3-year average of U.S. per capita income
IPOP21 = Indian population under age 21
SA = state allotment

	Data Sources	
Data Element	**Source**	**Data Element Type**
Population under age 21. (POP21, IPOP21)	Census Bureau, "Population Estimates and Projections, July 1, 1982," Series P-25, No. 930 (April 1983).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982).	Fiscal capacity factor.

Matching Requirements: Federal share is 75 percent.

Maintenance of Effort Requirement: Yes.

Comments: None.

Work Incentive Program (13.646)

Program Objectives: To move eligible Aid to Families with Dependent Children (AFDC) applicants and recipients (men, women, and out-of-school youth, age 16 or older) from dependency on AFDC grants to economic independence through permanent, productive employment by providing appropriate employment training, job placement, and other related services, supplemented by child care and other social services when needed to enable a person to participate or secure employment.

Federal Agency: Department of Labor, Employment and Training Administration; Department of Health and Human Services, Office of Human Development Services, Office of Family Assistance

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title IV as added by the Social Security Amendments of 1967, Public Law 90-248, Title II, Section 204(a), as amended (42 USC §§630 et seq.). Allocation provisions are found at 42 USC §631(b) and (c). Matching provisions are found at 42 USC §635. Funding authorization is continuous.

Code of Federal Regulations: CFR 29, Subpart B, Sections 56.14, 56.15, and 56.16.

Financial Information: Account Identification: 75-1639-0-1-504
Obligations: FY 83 $259,881,000; FY 84 $258,789,000; and FY 85 $256,760,000

Formula Narrative (FY 1981)

Funds are allocated to states, Puerto Rico, Guam and the Virgin Islands. These jurisdictions are implementing a Regular Work Incentive (WIN) Program or a Demonstration Program.

Each state or jurisdiction's proportionate share of funding has been frozen since 1981 for WIN Demonstration Programs and since 1982 for Regular WIN Programs. Funds were distributed in two stages under a two-part formula last used in FY 1981. An initial planning allocation was made in June of each year based on the President's budget and partial data from the current fiscal year plus estimates from the previous fiscal year. A final allocation was made in January of each year, based on complete fiscal year data and the Congressional appropriation.

Under the two-part formula, half of the funds were allocated in proportion to each state's share of the average number of persons registered in the WIN Program during the month of January.

Remaining funds were allocated through a second formula which was based on a set of six performance factors. The six weighted performance factors were: (1) the success of state programs in reducing welfare grants (20 percent); (2) success in generating wage income for former WIN registrants (20 percent); (3) each state's potential for generating future welfare grant reductions (20 percent); (4) each state's potential for generating future wage income for WIN registrants (20 percent); (5) actual success compared to potential in achieving welfare grant reduction (10 percent); and (6) actual success compared to potential in generating wage income for WIN registrants (10 percent).

No state may receive more than 115 percent of their previous year's allocation. Also, the Department of Labor reduced each state's allocation by 0.3 percent for each month a state was late in reporting the data needed to allocate funds under this program as an incentive for timely reporting.

Mathematical Structure: (FY1981)
STATE SHARE 1 (50%)= WIN/WINTOT

STATE SHARE 2 (50%)= .20*[(SAVE*COST1)/SUM OF NUMERATOR] +
.20*[(INCOME*COST2)/SUM OF NUMERATOR] +
.20*(PSAVE/PSAVETOT) + .20*(PINCOME/PINCOMETOT) +
.10*[SAVE*(SAVE*COST1)/PSAVE]/SUM OF NUMERATOR +
.10*[INCOME*(INCOME*COST2)/PINCOME]/SUM OF NUMERATOR

Definitions: (FY 1981)
WIN = average number of WIN registrants during the previous month of January in a state
WINTOT = average number of WIN registrants during the previous month of January in a state
SAVE = estimated savings in AFDC grants resulting from AFDC recipients' participation in the WIN program in a state (based on the amount of welfare payments forgone by successful WIN graduates; figures are modified by job retention rates)
COST1 = AFDC grant reductions expressed as a percentage of program costs in a state
INCOME = estimate wage income earned by WIN graduates as a result of program participation in a state
COST2 = wage income expressed as a percentage of program costs in a state
PSAVE = potential savings in AFDC grants that would occur if all eligible AFDC recipients successfully participated in the WIN program (based on

the number of AFDC families and the average payment levels in a state) PINCOME = potential wage income of eligible AFDC recipients if they successfully participated in the WIN program (based on average wage rates for job openings listed with state Employment Service agencies)

Data Sources

Data Element	Source	Data Element Type
Number of WIN registrants. (WIN)	ETA, Employment Service Automated Reporting System (ESARS), Table 32, Rept. No. MA5-103 (1980).	Workload factor.
Amount of reduction in welfare grants paid by a state to WIN registrants who graduated from the program. (SAVE, COST1)	HHS, Form SRS-NCSS-117, Part B (1980).	Incentive factor.
Job retention rate of WIN graduates. (SAVE)	ETA, ESARS Tables 31, 200C and 201C, Rept. No. MA5-102 (1980).	Incentive factor.
Cost of WIN program. (COST1, COST2)	HHS, unpublished financial status report, SF 269, Line G (1980). ETA, Cost Accounting Rept. No. 67, item 31 (1980).	Incentive factor.
Number of employed WIN graduates. (SAVE)	ETA, ESARS Tables 3207F, 31030C, 31035C, Rept. No. MA5-102 (1980).	Incentive factor.
Amount of wages paid to WIN graduates. (INCOME, COST2)	ETA, ESARS Tables 33, 010M, Rept. No. MA5-104 (1980).	Incentive factor.
Number of AFDC families. (PSAVE)	HHS, Form SRS-NCSS-117, p. A2, Table 4 (1980).	Incentive factor.
Average monthly AFDC payment in a state. (PSAVE)	HHS, Form SRS-NCSS-117, p. A2, Table 4 (1980).	Incentive factor.
Average hourly wage rate for posted Employment Service job openings. (PINCOME)	ETA, ESARS Tables 7B and 010M, Rept. No. MA5-49B.	Incentive factor.

Matching Requirements: Federal funds may be used for 90 percent of program costs.

Maintenance of Effort Requirement: No.

Comments: Under the Regular WIN Program, a state or jurisdiction may designate a public or non-profit private agency, usually the Employment Service, as the state WIN program sponsor to administer the program as a joint responsibility with the welfare department. Under the Demonstration Program, a state or jurisdiction must designate the welfare agency as the administering agency, which may subcontract with the Employment Service.

Foster Care: Title IV-E (13.658)

Program Objectives: To provide assistance on behalf of eligible children needing care away from their families (in foster care) who are in the placement and care of the state agency administering the program. Also provides assistance in the cost of state administration and training.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration for Children, Youth and Families

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title IV-E, Sections 470-475, as added by the Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272, Title I, Section 101(a)(1) (42 USC §§670-675). Reimbursement provisions are found at 42 USC §674. Funding authorization is continuous.

Code of Federal Regulations: 45 CFR 1355 and 1356.

Financial Information: Account Identification: 75-1645-0-1-506
Obligations: FY 83 \$395,000,000; FY 84 \$478,470,000; and FY 85 \$517,223,000

Formula Narrative

States, Puerto Rico, Guam the Virgin Islands and the Northern Mariannas are eligible for reimbursement; however the territories have chosen not to participate. This is an open-ended cost reimbursement program using the Medicaid reimbursement rate (see 13.714). In this program, as in Medicaid, per capita income squared is used to compute a reimbursement rate. The minimum federal share is 50 percent, the maximum is 83 percent. Additionally, training costs are matched at a 75 percent rate and other administrative costs at a 50 percent rate.

Mathematical Structure:
$\text{FEDERAL SHARE} = 1 - [.45 * (\text{PCI}/\text{PCIUS})^2]$

Definitions:
PCI = 3-year average of a state's per capita personal income
PCIUS = 3-year average of U.S. per capita personal income

Data Sources		
Data Element	**Source**	**Data Element Type**
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982) for calendar years 1979-81.	Fiscal capacity factor.

Matching Requirements: See "Formula Narrative".

Maintenance of Effort Requirement: No.

Comments: None.

Adoption Assistance (13.659)

Program Objectives: To provide assistance to States in promoting the adoption of children with special needs.

Federal Agency: Department of Health and Human Services, Office of Human Development Services, Administration for Children, Youth and Families

Governing Authority: Public Law or Acts: Social Security Act, Public Law 74-271, Title IV-E, Section 470-475, as added by the Adoption Assistance and Child Welfare Act of 1980, Public Law 96-272, Sections 101-102 (42 USC §§670-675). Reimbursement provisions are found at 42 USC §674. Funding authorization is continuous.

Code of Federal Regulations: 45 CFR 1355 and 1356.

Financial Information: Account Identification: 75-1645-0-1-506
Obligations: FY 83 $5,000,000; FY 84 $26,700,000; and FY 85 $35,351,000

Formula Narrative

States, Puerto Rico, Guam, the Virgin Islands and the Northern Marianas are eligible for reimbursement, however the territories have chosen not to participate. This is an open-ended cost reimbursement program using the Medicaid reimbursement rate (see 13.714). In this program, as in Medicaid, per capita income squared is used to compute a reimbursement rate. The minimum federal share is 50 percent, the maximum is 83 percent. Additionally, training costs are matched at a 75 percent rate and administrative costs at a 50 percent rate.

Mathematical Structure:
$\text{FEDERAL SHARE} = 1 - [.45*(\text{PCI}/\text{PCIUS})^2]$

Definitions:
PCI = 3-year average of a state's per capita personal income
PCIUS = 3-year average of U.S. per capita personal income

Data Sources		
Data Element	**Source**	**Data Element Type**
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982).	Fiscal capacity factor.

Matching Requirements: See "Formula Narrative".

Maintenance of Effort Requirement: No.

Comments: None.

Community Services Block Grant (13.665)

Program Objectives: To provide a range of services in order to ameliorate the causes and impact of poverty in communities. The program helps low income participants to obtain employment, education, housing, and emergency assistance, as well as other services.

Federal Agency: Department of Health and Human Services, Office of Community Services

Governing Authority: Public Laws or Acts: Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title VI (42 USC §§9901 et seq.). Allocation provisions are found at 42 USC §9903. Funding is authorized through September 30, 1990.

Code of Federal Regulations: 45 CFR 96 and 1067.

Financial Information: Account Identification: 75-1635-0-1-506
Obligations: FY 83 $341,680,000; FY 84 $316,680,000; and FY 85 $335,000,000

Formula Narrative

Allocations are made to states and territories.

The Secretary of HHS awards 0.5 percent of the appropriation to territories, based on the applications they submit. The Secretary may use up to 9 percent of the funds for discretionary distribution to community action agencies for statutorily identified purposes.

Remaining funds are allotted in proportion to the amount received by each state in FY 1981. No state may receive less than 0.25 percent of the amount appropriated.

HHS may set aside from each state's allotment an amount for eligible Indian organizations equal to the proportion of that state's population composed of eligible Native Americans. States themselves may use up to 5 percent of their allocation for administrative purposes and may transfer up to 5 percent to finance services under the Older Americans Act of 1965, the Head Start Program, the Energy Crisis Intervention Program or the Temporary Emergency Food Assistance Program. The remaining 90 percent of funds must be passed through to (1) Community Action Agencies existing as of 1981, (2) limited purpose agencies that in 1981 performed the functions of CAAs and (3) other organizations serving seasonal or migrant farmworkers. No more than 7 percent of the 90 percent can be granted to organizations which were not eligible entities during the previous fiscal year.

Mathematical Structure:
STATE SHARE = A81/A81TOT

Definitions:
A81 = a state's FY 1981 allocation
A81TOT = total amount allocated to states in FY 1981

Data Sources

Data Element	Source	Data Element Type
FY 1981 allocation. (A81)	Public Law 88-452, Section 203(a) (78 Stat. 517).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Social Services Block Grant (13.667)

Program Objectives: To enable each State as far as practicable to furnish services directed at goals that include: achieving or maintaining self-sufficiency or economic self-support, preventing or remedying child and adult abuse and neglect, and preventing or reducing inappropriate institutional care. Funds are used for day care, social services and training. There are no requirements that these programs must serve the poor.

Federal Agency: Department of Health and Human Services, Office of Human Development Services

Governing Authority: Public Laws or Acts: Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title XXIII, Subtitle C (42 USC §§1397 et seq.). Allocation provisions are found at 42 USC §1397b. Funding authorization is continuous.

Code of Federal Regulations: 45 CFR, Part 96, Subpart G.

Financial Information: Account Identification: 75-1634-0-1-506 Obligations: FY 83 $2,675,000,000; FY 84 $2,700,000,000; and FY 85 $2,700,000,000

Formula Narrative

Allocations are made to states and certain territories. An amount is set aside from the total appropriation for Puerto Rico, Guam, the Virgin Islands and the Northern Mariannas based on the same proportion they received in FY 1981. The remainder is allocated in proportion to each state's share of the national population.

Mathematical Structure:
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = national population

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections, July 1, 1981," P-25 Series, No. 913.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Child Support Enforcement (13.679)

Program Objectives: To enforce the support obligations of absent parents, locate absent parents, establish paternity, and establish child and spousal support.

Federal Agency: Department of Health and Human Services, Office of Child Support Enforcement

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title IV-D as added by the Social Services Amendments of 1974, Public Law 93-647, Part B, Section 101(a) (42 USC §§651 et seq.). Reimbursement provisions are found at 42 USC §655. Funding authorization is continuous.

Code of Federal Regulations: 45 CFR 301.15 and Part 304.

Financial Information: Account Identification: 75-0430-0-1-609
Obligations: FY 83 $487,139,000; FY 84 $507,069,000; and FY 85 $576,555,000

Formula Narrative

States and certain territories are entitled to open-ended reimbursements for administrative and developmental computer costs incurred in support of approved child support enforcement activities.

The federal reimbursement rate is 70 percent of administrative costs incurred by a state or territory pursuant to a federally approved state plan. The reimbursment rate increases to 90 percent for the development and purchase of approved statewide, comprehensive computer systems (both software and hardware) used to support program efforts.

Mathematical Structure:
FEDERAL REIMBURSEMENT = (RATE1 * ADMIN) + (RATE2 * ADP)

Definitions:
ADMIN = a state's administrative costs
RATE1 = the federal reimbursement rate on administrative cost is .70
ADP = developmental costs for comprehensive, statewide computer systems
RATE2 = the federal reimbursement rate on ADP costs is .90

Data Sources		
Data Element	**Source**	**Data Element Type**
State administrative costs. (ADMIN)	HHS, Office of Child Support Enforcement, OCSE Form 41, Quarterly Expenditure Report (submitted by states).	Workload factor.
Federal reimbursement rate for administrative costs. (RATE1)	Statute; 42 USC 655(a)(1)	Unit cost factor.
Developmental costs for comprehensive, statewide computer systems. (ADP)	HHS, Office of Child Support Enforcement, OCSE Form 41, Quarterly Expenditure Report (submitted by states).	Workload factor.
Federal reimbursement rate for ADP costs. (RATE2)	Statute; 42 USC 655(a)(3).	Unit cost factor.

Matching Requirements: See formula.

Maintenance of Effort Requirement: No.

Comments: None.

Medicaid (13.714)

Program Objectives: To provide financial assistance to states for payments of medical assistance on behalf of cash assistance recipients and, in certain states, on behalf of other medically needy, who, except for income and resources, would be eligible for cash assistance.

Federal Agency: Department of Health and Human Services, Health Care Financing Administration

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title XIX, as added by the Social Security Amendments of 1965, Public Law 89-97, Title I, as amended (42 USC §§1396-1396i). Formula reimbursement provisions are found at 42 USC §§1396d(b) and 1301(a)(8)B). Temporary funding reduction that was in effect for FY 1982-84 was found at 42 USC §1396b(s)(1)(A)(iii). Funding authorization is continuous.

Code of Federal Regulations: Program services reimbursement provisions are in 42 CFR 433.10, and administrative cost reimbursement provisions are in 42 CFR 433.15.

Financial Information: Account Identification: 75-0512-0-1-551
Obligations: FY 83 $17,924,483,000; FY 84 $19,169,071,000; and FY 85 $21,414,349,000

Formula Narrative

States are reimbursed on a sliding scale for qualified medical expenditures. The reimbursement rate for the territories and Puerto Rico is 50 percent. Per capita income squared is used to compute a reimbursement rate at which the federal government will reimburse medical assistance expenditures. Each state's rate is computed separately and remains in effect for two years. The minimum federal share is 50 percent; the maximum is 83 percent. The program is an open-ended entitlement, except for the territories, whose federal share is a statutory dollar amount that totaled $69.2 million in FY 1984.

A temporary funding reduction of 4.5 percent for FY 1984 was levied across the board for each state's reimbursement rate. However states had the opportunity to moderate the reduction by up to 3 percent for any quarter if they had (1) an unemployment rate 150 percent of the national average (1 percent); (2) a HCFA-approved hospital cost containment program (1 percent); or (3) sufficient fraud and abuse recoveries (1 percent). Further, states could recoup any losses between FY 1982-84, to the extent that their program expenditures increased less than the medical consumer price index during that period.

Mathematical Structure:
$\text{FEDERAL SHARE} = 1 - [.45*(\text{PCI}/\text{PCIUS})^2]$

Definitions:
PCI = three-year average of a state's per capita personal income
PCIUS = three-year average of U.S. per capita personal income

Data Sources

Data Element	Source	Data Element Type
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982).	Fiscal capacity factor.

Matching Requirements: The formula itself is a matching rate. Federal share ranges from 50 to 83 percent of medical assistance costs. Matching rates for administration vary depending on the particular activities. Rates of 90 percent, 75 percent and 50 percent are used.

Maintenance of Effort Requirement: No.

Comments: The matching rate is constant for a two year period. It is published in the fall of the year before it is to become effective.

Aid to Families With Dependent Children (13.808)

Program Objectives: To provide federal assistance to families with dependent children; temporary emergency assistance to families with children; and in Guam, Puerto Rico and the Virgin Islands, to aid the aged, blind, permanently and totally disabled.

Federal Agency: Department of Health and Human Services, Social Security Administration, Office of Family Assistance.

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title IV-A, as amended (42 USC §§601 et seq.). Formula provisions are found at 42 USC §603 and §1396d(b). Funding authorization is continuous.

Financial Information: Account Identification: 75-0412-0-1-609 Obligations: FY 83 $7,332,000,000; FY 84 $7,707,000,000; and FY 85 $8,030,000,000

Formula Narrative

States, Puerto Rico, Guam and the Virgin Islands are reimbursed for eligible expenditures at variable rates under one of two formulas. The "regular" formula reimburses states for five-sixths of the average payment per recipient, up to $18 per month, and at a rate which varies between 50 and 65 percent, depending on the state's per capita income for payments between $18 and $32. As a result, the "regular" formula does not reimburse benefits more than $24.10 per recipient per month.

The "alternate" formula is the same as that used for Medicaid (13.714). If the Medicaid formula is more generous, states may opt to use that formula. All states used the alternate formula during FY 1984.

For the territories, the reimbursement rate is 75 percent for AFDC and the adult assistance programs. Each territory's expenditures are subject to a cap. Emergency assistance is reimbursed at a 50 percent rate.

Mathematical Structure:
"Regular"
(if benefits are equal to or less than $18 per recipient)

$$\text{FEDERAL REIMBURSEMENT} = 5/6 * \text{BENEFIT} * \text{RECIP}$$

(if benefits are greater than $18 per recipient and less than or equal to $32 per recipient)

$$\text{FEDERAL REIMBURSEMENT} = (5/6 * \$18 * \text{RECIP}) + [1 - .5 * (\text{PCI}/\text{PCIUS})^2] * (\text{BENEFIT} - \$18) * \text{RECIP}$$

(if benefits are greater then $32 per recipient)
FEDERAL REIMBURSEMENT = 0

"Alternate"
$1 - [.45 * (PCI/PCIUS)^2]$

Definitions:
BENEFIT = average monthly benefit provided by state, per recipient
RECIP = number of recipients in a state
PCI = average per capita income in a state
PCIUS = average per capita income in the nation

Data Sources

Data Element	Source	Data Element Type
Average monthly benefit provided by state, per recipient. (BENEFIT, RECIP)	Social Security Administration, Office of Family Assistance, Form SSA-41 (quarterly, unpublished).	Workload factor.
Number of AFDC recipients in a state. (RECIP)	Social Security Administration, Office of Family Assistance, Form SSA-3637 (quarterly, unpublished).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1982).	Fiscal capacity factor.

Matching Requirements: See "Formula Narrative"

Maintenance of Effort Requirement: No.

Comments: The major difference between the "regular" and "alternate" formulas is that the regular formula provides a maximum by not matching benefits beyond $24.10 per recipient, per month while the alternate formula is an open-ended reimbursement, limited only by a state's benefit and eligibility standards.

Refugee and Entrant Assistance: Social Services (13.814A)

Program Objectives: To make available sufficient resources for employment, training and placement in order to achieve economic self-sufficiency among refugees as quickly as possible.

Federal Agency: Department of Health and Human Services, Social Security Administration, Office of Refugee Resettlement

Governing Authority: Public Laws or Acts: Immigration and Nationality Act, Public Law 82-414, Title IV, as added by the Refugee Act of 1980, Public Law 96-212, Title III, as amended (8 USC §§1521 et seq.). Funding is authorized through September 30, 1988.

Administrative Rule: Allocation provisions found at 49 FR 36702 (1984) and 50 FR 8194 (1985).

Financial Information: Account Identification: 75-0473-0-1-609
Obligations: FY 83 $71,269,000; FY 84 $71,501,000; and FY 85 $71,539,000

Formula Narrative

Funds are distributed to state refugee program coordinators in those states which have approved state plans for administering refugee programs. All states (except Alaska) and Guam participate.

Funds are allocated to states in proportion to each state's share of the nation's official refugee population (only those refugees who had been in the U.S. 36 months or less and had not been resettled under the Voluntary Agency grant program (13.815) may be counted). HHS annually establishes a minimum allocation to each state; for FY 1984 the minimum allocation was $75,000 per state.

Mathematical Structure:
STATE SHARE = RPOP/RPOPTOT

Definitions:
RPOP = number of refugees in a state who have been in the U.S. 36 months or less
RPOPTOT = total number of refugees in the U.S. for 36 months or less

Data Sources		
Data Element	**Source**	**Data Element Type**
Refugee population. (RPOP)	HHS, Office of Refugee Resettlement, Refugee Data System, Form ORR-11 average of 3 preceeding fiscal years, adjusted for secondary migration among states).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Refugee and Entrant Assistance: Targeted Assistance Programs (13.814B)

Program Objectives: To provide funds for services intended to make unemployed and cash assistance-dependent refugees and Cuban and Haitian entrants economically self-sufficient in counties where a need exists to supplement available local resources.

Federal Agency: Department of Health and Human Services, Social Security Administration, Office of Refugee Resettlement

Governing Authority: Public Laws or Acts: Immigration and Nationality Act, Public Law 82-414, Title IV, as added by the Refugee Act of 1980, Public Law 96-212, Title III. See also the Refugee Education Assistance Act of 1980, Public Law 96-422, as amended (8 USC §§1521 et seq. and 8 USC §1522 note). Funding is authorized through September 30, 1988.

Administrative Rule: Eligibility and allocation provisions are found at 49 FR 36695 (1984).

Financial Information: Account Identification: 75-0473-0-1-609
Obligations: FY 83 $81,122,000; FY 84 $38,474,000; and FY 85 $89,026,000

Formula Narrative

The appropriation is divided into two separate "pots" for distribution by formula to eligible counties. The first "pot" comprises 73 percent of the appropriation and is allocated to eligible counties with eligible refugees. The remaining 27 percent of the appropriation is allocated to eligible counties with eligible Cuban and Haitian entrants. "Eligible refugees" are those refugees who had been in the U.S. for 36 months or less and were recipients of AFDC or refugee in the prior fiscal year. "Eligible Cuban entrants" are those who had entered the U.S. after April 20, 1980 and were in immigration and naturalization proceedings as of October 10, 1980. "Eligible Haitians" are those who were in INS proceedings as of October 10, 1980, regardless of entry date.

To be eligible for funds from the first pot, a county must score above a minimum specified by HHS on at least 3 of the 4 following criteria: (1) the number of eligible refugees/entrants; (2) the ratio of total population to eligible refugees/entrants; (3) the number of eligible refugees/entrants receiving federally-assisted cash payments on October 1, 1982; and (4) the number of eligible refugees/entrants receiving federally-assisted cash payments as a percentage of all eligible refugees/entrants. To be eligible for funds from the second pot, a county must have received more than 1,000 Cuban or Haitian entrants.

Both pots of funds are allocated among states in proportion to the number of eligible refugees (or Cuban or Haitian entrants) located in eligible counties within a state. States may set aside up to 5 percent of their allotments for administrative expenses and must distribute the remaining funds to the eligible units of local government.

Mathematical Structure:
LOCAL SHARE 1 (73 percent of program funds) = RPOP/RPOPTOT
LOCAL SHARE 2 (27 percent of program funds) = ENTPOP/ENTPOPTOT

Definitions:
RPOP = number of refugees who had been in the U.S. for 36 months or less and received AFDC and Refugee Cash Assistance in the prior fiscal year, in an eligible jurisdiction
RPOPTOT = number of refugees who had been in the U.S. for 36 months or less and received AFDC and Refugee Cash Assistance in the prior fiscal year, in all eligible jurisdictions
ENTPOP = number of Cuban and Haitian entrants who, with certain limitations, were in immigration and naturalization proceedings on October 10, 1980, in an eligible jurisdiction
ENTPOPTOT = number of Cuban and Haitian entrants who, with certain limitations, were in immigration and naturalization proceedings on October 10, 1980, in all eligible jurisdictions

Data Sources

Data Element	Source	Data Element Type
Refugee recipients of AFDC, AFDC-Unemployed Parent and Refugee Cash Assistance. (RPOP)	HHS, Office of Refugee Resettlement (unpublished data submitted by counties from the prior fiscal year).	Workload factor.
Refugee population, by county. (RPOP)	HHS, Office of Refugee Resettlement, unpublished attachment to its Monthly Data Report (September 1982).	Workload factor.
Cuban and Haitian entrant population who were in immigration and naturalization proceedings on October 10, 1980. (ENTPOP)	HHS, Office of Refugee Resettlement, unpublished records of the Cuban-Haitian Task Force (October 1980).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Refugee and Entrant Assistance: Maintenance and Medical Assistance (13.814C)

Program Objectives: To help refugees resettle throughout the country, by reimbursing state costs for providing cash and medical assistance to needy refugees.

Federal Agency: Department of Health and Human Services, Social Security Administration, Office of Refugee Resettlement

Governing Authority Public Laws or Acts: Social Security Act, Public Law 74-271, Titles IV, XVI, and XIX, as added by the Refugee Act of 1980, Public Law 96-212, Title III, as amended (8 USC §§1521 et seq.). Allocation provisions are found at 8 USC §1522(e). Funding is authorized through September 30, 1988.

Code of Federal Regulations: 45 CFR 400 and 401.

Administrative Rule: 51 FR 3904 (January 30, 1986).

Financial Information: Account Identification: 75-0473-0-1-609
Obligations: FY 83 $400,072,000; FY 84 $357,927,000; and FY 85 $274,741,000

Formula Narrative

Allocations are made to states and territories for cash and medical assistance to eligible refugees (including Cuban and Haitian Entrants). The federal government reimburses the states for the full costs of providing benefits to refugees under various welfare programs in three ways.

First, if a refugee who has been in the U.S. for 3 years or less, is eligible under an approved state plan for Aid to Families with Dependent Children (AFDC) (13.808), Medicaid (13.714) and/or a state's supplement to Supplemental Security Income (13.807), then the Refugee and Entrant Assistance program will pay the state's share of costs under these programs for the first 18 month period after they arrive in the U.S.

Second, those refugees who have been in the U.S. 18 months or less and do not meet the categorical requirements of AFDC or SSI are eligible for assistance under the Refugee and Entrant Assistance program. States are reimbursed for 100 percent of the costs incurred by including such refugees in these programs.

Third, states (or, where applicable, localities) are also reimbursed for state or local General Assistance expenditures for the second 18 month period. State expenditures for foster care for unaccompanied refugee children are also reimbursed until recipients reach adulthood (as defined in the state plan). All state administrative expenses incurred in providing the above benefits are also reimbursed 100 percent.

Mathematical Structure:
STATE ALLOTMENT = SHARE*(AFDC + MEDICAID) + STATESSI + AID + RAFDC + RMEDICAID + RFOSTER + ADMIN

Definitions:
SHARE = normal state share of program costs
AFDC = state AFDC benefits paid to qualifying refugees
MEDICAID = state Medicaid benefits provided to qualifying refugees
STATESSI = state supplemental benefits paid to refugees eligible for SSI
AID = state or county general assistance benefits paid to eligible refugees
RAFDC = total state AFDC assistance expenditures made to refugees otherwise ineligible under state (but not federal) law to receive benefits
RMEDICAID = total state Medicaid assistance expenditures made to refugees otherwise ineligible under state (but not federal) law to receive benefits
RFOSTER = state expenditures for foster care benefits to unaccompanied refugee children
ADMIN = state administrative costs incurred in the provision of above services

Data Sources

Data Element	Source	Data Element Type
State share of program costs. (SHARE)	See Medicaid (13.714).	Fiscal capacity factor.
State and county program and administrative expenditures. (all other definitions)	HHS, Office of Refugee Resettlement, unpublished financial reports submitted quarterly by states on OMB Form SF 269.	Total program costs.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Low-Income Home Energy Assistance Block Grant (13.818)

Program Objectives: To make funds available to states and other jurisdictions to assist eligible low-income households to meet the cost of home energy.

Federal Agency: Department of Health and Human Services, Social Security Administration, Office of Family Assistance

Governing Authority: Public Laws or Acts: The Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title XXVI (42 USC §§8621-8629). See also the Human Services Reauthorization Act, Public Law 98-558, Title VI. Allocation provisions are found at 42 USC §8623. Funding is authorized through September 30, 1990.

Code of Federal Regulations: 45 CFR Part 96.

Financial Information: Account Identification: 75-0420-0-1-609
Obligations: FY 83 $1,972,711,000; FY 84 $2,072,704,000; and FY 85 $2,097,658,786

Formula Narrative (FY 1985)

Allocations are made to states, territories and Indian tribes. About $2 million is set aside for Federal administrative costs and territories receive approximately .14 percent of the total appropriation (which is based on the amount they received in FY 1981).

The remainder is allocated among states based on each state's share of total heating and cooling costs of low income households in the nation. "Low income households" are defined as the number of households with the greater of (1) incomes under 150 percent of the poverty level, or (2) 60 percent of a state's median income. Tribal allocations are taken out of each state's allotment and are based on their share of eligible households in that state. There are two hold-harmless provisions. One is based on a fixed dollar amount. The other is based on a percentage share. States in FY 1985 are guaranteed to receive not less than they did in FY 1984, when appropriations equaled $2.075 billion. In FY 1986, no state will receive less than it would have in FY 1984 if the appropriation had been $1.975 billion. In addition, if appropriations reach $2.25 billion and if any state receives less than 1 percent of the total allocation, they will receive the percentage share they would have received if the appropriation were based on $2.14 billion (the amount authorized, though not appropriated, for FY 1985).

Mathematical Structure: (FY 1985)
STATE SHARE = COST/COSTTOT

Definitions:

COST = heating and cooling costs of all low-income households in each state

COSTTOT = heating and cooling costs of all low-income households in the U.S.

Data Sources (FY 1985)

Data Element	Source	Data Element Type
Heating and cooling costs of all low income households. (COST)	DOE, "State Energy Data Report: Consumption Estimates, 1960-82," 1982 (DOE/EIA-0214(82); and DOE State Energy Price System (unpublished 1982 data); DOE, "Residential Energy Consumption Survey: Regression Analysis of Energy Consumption by End Use," 1983 (DOE/EIA-0431 (83)). Census Bureau, "Census of Population and Housing, 1980: Users Guide, Part B Glossary;" (for households below 150 percent of the poverty level and for median income data).	Total program costs.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: Up to 10 percent of low income energy assistance block grant funds may be transferred by states to the following other block grants: Community Services Block Grant (13.665); Social Services Block Grant (13.667); Preventive Health and Health Services Block Grant (13.991); Alcohol, Drug Abuse and Mental Health Block Grant (13.992); and Maternal and Child Health Block Grant (13.994).

Preventive Health and Health Services Block Grant (13.991)

Program Objectives: To provide states with resources for comprehensive preventive health services in 8 areas: emergency medical services, health incentive activities, hypertension programs, rodent control, fluoridation programs, health education and risk reduction programs, home health services, and services for rape victims.

Federal Agency: Department of Health and Human Services, Public Health Service, Center for Disease Control

Governing Authority: Public Laws or Acts: Public Health Service Act, Public Law 78-410, Title XIX, as added by The Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title IX (42 USC §§300w et seq.). Allocation provisions are found at 42 USC §300w-1. Funding is authorized through September 30,1987.

Code of Federal Regulations: 45 CFR 96.

Financial Information: Account Identification: 75-0943-0-1-550
Obligations: FY 83 $85,000,000; FY 84 $87,136,000; and FY 85 $89,000,000

Formula Narrative

Funds are allocated to states and territories. For fiscal years prior to FY 1985, a minimum of $3 million was set aside, before allocations were made, for rape prevention and crisis services. These set-aside funds were allocated among states in proportion to their share of the nation's population. In FY 1985, this set-aside was increased to $3.5 million.

Remaining funds are allocated to states based on their share of funds allocated to all states in FY 1981 for 7 prior categorical health programs.

States may set aside no more than 10 percent of block grant funds for administrative costs. In FY 1984, states were required to fund their hypertension programs at 60 percent or more of the level they were funded in FY 1981. HHS can reserve a portion of a state's allocation for Indian tribes or tribal organizations, in proportion to a state's allotment distributed to such tribes in FY 1981.

Mathematical Structure:
STATE SHARE 1 (rape prevention and crisis services) = POP/POPTOT
STATE SHARE 2 (basic program) = A81/A81TOT

Definitions:
POP = state population
POPTOT = U.S. population
A81 = state's share of allocations for 7 of 8 prior categorical programs consolidated into the block grant
A81TOT = total U.S. appropriation for 7 of 8 prior categorical programs consolidated into the block grant

Data Sources

Data Element	Source	Data Element Type
State FY 1981 allocation. (A81)	HHS, Public Health Service, official notice of grant awards for basic program for FY 1981.	Workload factor.
Population. (POP)	Census Bureau, "Statistical Abstract of the United States," Chart No. 45 (1980).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: A state may transfer up to 7 percent of its allocation to other health block grants: Alcohol and Drug Abuse and Mental Health Block Grant (13.992); Primary Care Block Grant (13.993); and Maternal and Child Health Services Block Grant (13.994). Up to 3 percent may be transferred in the first three quarters of the fiscal year and the remainder during the last quarter.

Alcohol, Drug Abuse and Mental Health Services Block Grant (13.992)

Program Objectives: To provide financial assistance to states and territories to support projects for the development of more effective prevention, treatment, and rehabilitation programs and activities to deal with alcohol and drug abuse; and to support community mental health centers for the provision of services for chronically mentally ill individuals, severely mentally disturbed children and adolescents, mentally ill elderly individuals, identifiable populations which are currently underserved, and for coordination of mental health and health care services provided within health care centers.

Federal Agency: Department of Health and Human Services, Public Health Service, Alcohol, Drug Abuse, and Mental Health Administration

Governing Authority: Public Laws or Acts: Public Health Service Act, Public Law 78-410, Sections 1911-1920, as added by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title IX, Part B, as amended (42 USC §§300x et seq.). Allocation provisions are found at 42 USC §300x-1a. Funding is authorized through September 30, 1987.

Code of Federal Regulations: 45 CFR 96.

Financial Information: Account Identification: 75-1361-0-1-550
Obligations: FY 83 $468,000,000; FY 84 $462,000,000; and FY 85 $490,000,000

Formula Narrative (FY 1985)

Allocations are made to states and territories. HHS may set aside up to 1 percent of the total appropriation for distribution on a discretionary basis to public and nonprofit private entities for training and retraining of employees adversely affected by changes in the delivery of mental health services.

A new formula was phased in beginning in FY 1985. All states were held harmless at their FY 1984 funding levels ($462 million) and the increased funding between $462 million and $490 million was allocated under a new formula only to those states that would receive increased funding. Any increase in funding over $490 million is allocated to all states and territories according to the new formula.

The new formula allocates 50 percent of available funds in proportion to population and 50 percent in proportion to population weighted by a state's average per capita income (expressed as a percentage of the average U.S. per capita income).

Once allocated, state use of the funds for specific services are dictated by statute (see "Comments"). In addition, HHS can set aside for reallocation to Indian tribes an amount from a state's allotment proportionate to the amount distributed to such tribes in FY 1980.

Mathematical Structure: (FY 1985)
STATE SHARE = .50*(POP/POPTOT) + .50*[[POP*(PCIUS/PCI)]/SUM OF NUMERATOR]

Definitions:
POP = state population
POPTOT = U.S. population
PCI = 3-year average of a state's per capita personal income
PCIUS = 3-year average of U.S. per capita personal income

Data Sources (FY 1985)

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," P-25 Series (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (August 1983); 3-year average for 1980-82.	Fiscal capacity factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: In addition to the Indian set-aside mentioned above, this program has a number of constraints on how states may use the funds allocated to them. States may transfer up to 7 percent of its allocation to other health block grants. Up to 3 percent may be transferred during the first three quarters of the fiscal year and the remainder in the last quarter.

In FY 1984 states were required to divide 85 percent of the block grant funds between mental health programs and alcohol/drug abuse programs in the same proportion as in certain years prior to FY 1981. In FY 1985 only 75 percent of total funds must be so divided. Of the funds distributed to substance abuse programs, at least 35 percent must go to drug abuse programs and 35 percent to alcoholism and alcohol abuse programs. At least 20 percent of the substance abuse funds must be spent on prevention and early intervention programs.

Also, beginning in FY 1986, a state may not allocate less than 5 percent of its total block grant allotment to initiate and expand alcohol and drug abuse programs for women.

Out of the mental health funds a state must make grants to all community mental health centers that received grants in FY 1981 unless HHS agrees to terminate funding eligibility. Beginning in FY 1986 a state must allocate at least 10 percent of the amount used for mental health purposes for new or expanded services for severely disturbed children and adolescents and to establish new comprehensive community mental health services for unserved or underserved areas or groups.

Maternal and Child Health Services Block Grant (13.994)

Program Objectives: To enable states to maintain and strengthen their leadership in planning, promoting, coordinating and evaluating health care for mothers and children and in providing health services for mothers and children who do not have access to adequate health care.

Federal Agency: Department of Health and Human Services, Public Health Service, Health Resources and Services Administration

Governing Authority: Public Laws or Acts: Social Security Act, Public Law 74-271, Title V, as added by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title XXI (42 USC §§701 et seq.). Allocation provisions found at 42 USC §702. Funding authorization is continuous.

Code of Federal Regulations: 45 CFR 96.

Financial Information: Account Identification: 75-0305-0-1-551
Obligations: FY 83 $422,050,000; FY 84 $339,150,000; and FY 85 $406,300,000

Formula Narrative

The Secretary may set aside 10 to 15 percent of the funds appropriated under this program before distributing the remainder via formula. This pot of funds is distributed via agency discretion (see Maternal and Child Health Federal Consolidated Programs (13.110)) to public and private organizations.

Remaining funds are allocated among the states and territories in proportion to their shares of funds received under 8 prior programs in FY 1981. Beginning in FY 1984, if funding were to exceed the amount appropriated in FY 1983, the additional funds would be allocated in proportion to the poverty population under age 21. This has not yet occurred.

Mathematical Structure:
STATE SHARE1 (base allocation)= A81/A81TOT
STATE SHARE2 (allocation of funds in excess of the FY 1983 appropriation) = POV21/POV21TOT

Definitions:
A81 = the sum of a state's FY 1981 allotments under 8 prior categorical programs consolidated into the MCH block grant
A81TOT = the total of all allotments made to states under the 8 prior cate-gorical programs
POV21 = population in a state under age 21 living in families with

incomes below the poverty line
POV21TOT = U.S. population under age 21 living in families with incomes below the poverty line

Data Sources

Data Element	Source	Data Element Type
State FY 1981 allocation. (A81)	HHS, Bureau of Health Care Delivery and Assistance Grants Management Branch, Award and Allotment Records.	Workload factor.
Population under age 21 living below the non-farm official OMB poverty line. (POV21)	Source to be determined.	Workload factor.

Matching Requirements: The state match is $3 of direct or inkind expenditures for every $4 of federal aid (57 percent).

Maintenance of Effort Requirement: No.

Comments: None.

Department of Housing and Urban Development

Source: GAO

Lower Income Housing Assistance Program (14.156)

Program Objectives: To aid lower-income families in obtaining decent, safe and sanitary housing in private accommodations by subsidizing their rent payments.

Federal Agency: Department of Housing and Urban Development, Housing

Governing Authority: Public Laws or Acts: United States Housing Act of 1937, Public Law 75-412, as amended by the Housing and Community Development Act of 1974, Title II, Section 213, Public Law 93-383 as amended (42 USC §1437f). Allocation provisions are found at 42 USC §1437f and §1439. Funding authorization is continuous.

Code of Federal Regulations: 24 CFR 791.

Administrative Rule: 47 FR 24120 (1982).

Financial Information: Account Identification: 86-0139-0-1-604
Obligations: FY 83 $205,944,000; FY 84 $288,995,000; and FY 85 $202,662,000

Formula Narrative

Allocations are made to territories and groupings of counties as determined by HUD's field offices. By statute, funds are first divided into two "pots"—75 to 80 percent for allocation to county areas in metropolitan statistical areas (as established by OMB) and 20 to 25 percent to nonmetropolitan county areas. The exact split is left to agency discretion. Funds are distributed to each using similar formulas. Up to 15 percent of total funds may be reserved for the discretionary use of the Secretary of the Department of Housing and Urban Development.

Each metropolitan county area's relative share is based on six equally weighted factors: metropolitan population (1/6), the number of low-income families in metropolitan counties (1/6), the number of rental units lacking plumbing facilities in metropolitan counties (1/6), the number of additional vacant units needed to achieve a 6 percent vacancy rate in metropolitan counties (1/6), the number of overcrowded units in metropolitan counties (1/6), and the number of renter households in metropolitan counties with incomes less than $20,000 who spend more than 30 percent of their income for rent (1/6).

The resulting allotment is then adjusted for regional differences in the cost of rental housing by multiplying each county's initial allotment percentage by a rent cost index based on the adjusted national average costs for rental units. The regions are based on the 51 HUD regional offices.

Allocations to non-metropolitan county areas are also based on their relative share of these same factors, using non-metropolitan data.

Mathematical Structure:

$$\begin{aligned}&\text{COUNTY SHARE} = [1/6 * (\text{POP}/\text{POPTOT}) +\\&1/6 * (\text{POV}/\text{POVTOT}) + 1/6 * (\text{PLUM}/\text{PLUMTOT}) +\\&1/6 * (\text{VAC}/\text{VACTOT}) + 1/6 * (\text{CROWD}/\text{CROWDTOT}) +\\&1/6 * (\text{RENT}/\text{RENTTOT})] * \text{COST}\end{aligned}$$

Definitions:

POP = population in a county
POPTOT = total population in all counties
POV = number of families in a county with annual incomes below 50 percent of the median family income in the census region
POVTOT = number of families in all counties with annual incomes below 50 percent of the median family income in all counties
PLUM = number of units in a county lacking plumbing facilities
PLUMTOT = number of units in all counties lacking plumbing facilities
CROWD = number of overcrowded units (more than 1.01 persons in a room) in a county
CROWDTOT = number of overcrowded units (more than 1.01 persons in a room) in all counties
VAC = number of additional vacant units needed to achieve a 6 percent vacancy rate in a county
VACTOT = number of additional vacant units needed to achieve a 6 percent vacancy rate in all counties
RENT = number of renter households in a county with incomes of less than $20,000 and spending more than 30 percent of their incomes for rent
RENTTOT = number of renter households in all counties with incomes of less than $20,000 and spending more than 30 percent of their incomes for rent
COST = rent index to adjust for differences in housing costs in different areas of the country

	Data Sources	
Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Characteristics of the Population," PC80-1-A1 (1982), updated annually with a 3-year lag using "Current Population Estimates," Series P-26.	Workload factor.
Families in poverty. (POV)	Census Bureau, "1980 Census of Population, Characteristics of the Population," PC80-1-C (1982). Summary tape file 3.	Workload factor.
Housing units lacking plumbing. (PLUM)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	Workload factor.
Overcrowded housing units. (CROWD)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	Workload factor.
Additional housing units needed for a 6 percent Vacancy rate. (VAC)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	Workload factor.
Renter households with less than $20,000 income and spending more than 30 percent of their income on rent. (RENT)	Census Bureau, "1980 Census of Population and Housing PHC80-2-1 (1983).	Workload factor.
Rent indices. (COST)	HUD, computes Fair Market Rents based on field surveys, published annually in Federal Register (July 5, 1984).	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: The appropriations statutes for the past several years have waived the metropolitan/nonmetropolitan split in funds and have given field offices the discretion to target these limited funds to specific areas within each state based on needs, as defined by the allocation factors.

Community Development Block Grant: Entitlement Grants (14.218)

Program Objectives: To develop viable urban communities, by providing decent housing and a suitable living environment, and by expanding economic opportunities, principally for persons of low and moderate income in large urban areas.

Federal Agency: Department of Housing and Urban Development, Community Planning and Development

Governing Authority: Public Laws or Acts: Housing and Community Development Act of 1974, Public Law 93-383, Title I, as amended (42 USC §§5301-5320). Allocation provision found at 42 USC §5306(a), (b) and (c). Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: 24 CFR 570.4 (1984)

Financial Information: Account Identification: 86-0162-0-1-451 Allocations: FY 83 $2,379,650,000 (Does not include supplemental appropriation of over $770 million under the "Jobs Bill"); FY 84 $2,379,860,000; and FY 85 $2,433,678,000

Formula Narrative

Large urban jurisdictions (city and county governments) are entitled to allotments based on one of the two following formulas, whichever gives a larger allotment.

The first formula is based on each jurisdiction's percentage share, of three weighted factors: population, (25 percent), population below the poverty level (50 percent) and the number of housing units in each jurisdiction with 1.01 persons or more per room (25 percent).

The second formula is also based on each jurisdiction's share of three weighted factors: population in poverty (30 percent), the number of pre-1940 housing units in a jurisdiction (50 percent), and a jurisdiction's lag in population growth rate (20 percent). "Growth rate lag" is defined as the lag in a jurisdiction's population growth between 1960 and 1980 in relation to the total growth of all jurisdictions in that period (growth rate lag is computed separately for urban counties and for metropolitan cities).

After each locality's share is determined, allocations are then ratably reduced to conform to appropriations.

Mathematical Structure: Allocations are based on the greater of:

Formula A

LOCALITY'S SHARE = .25*(POP/POPTOT) + .50*(POV/POVTOT) + .25*(CROWD/CROWDTOT)

Formula B

LOCALITY'S SHARE = .30*(POV/POVTOT) + .50*(AGE/AGETOT) + .20*(LAG/LAGTOT)

Definitions:

POP = an entitled jurisdiction's 1980 population
POPTOT = total 1980 population of all entitled jurisdictions in the U.S.
POV = an entitled jursidiction's 1980 population below the poverty level
POVTOT = total 1980 poverty population in all entitled jurisdictions
CROWD = number of housing units in an entitled jursidiction with 1.01 persons or more per room
CROWDTOT = total number of housing units in all entitled jursidictions with 1.01 persons or more per room
AGE = number of year-round housing units in an entitled jursidictions built before 1940
AGETOT = total number of year-round housing units in all entitled jursidictions built before 1940
LAG = lag in population growth rate in an urban county (or metropolitan city) between 1960 and 1980
LAGTOT = the total population growth rate for all urban counties (or metropolitan cities) between 1960 and 1980

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	N/A.
Population below the poverty level. (POV, POVTOT)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	N/A.
Housing units with 1.01 or more persons per room in urban areas. (CROWD)	Census Bureau, 1980 Census of Population and Housing," PHC80-2-1 (1983).	N/A.
Year-round housing units built before 1940 in urban areas. (AGE)	Census Bureau, 1980 Census of Population and Housing," PHC80-2-1 (1983).	N/A.
Lag in population growth rate. (LAG)	Census Bureau, "Census of Population, Number of Inhabitants," 1960 and 1980.	N/A.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: The Community Development Block Grant is divided into two subprograms, one for large urban jurisdictions, which are automatically entitled to receive funding (14.218) and one for small urban jurisdictions (14.219). The appropriation is divided 70 percent for large jurisdictions are 30 percent for small jurisdictions before allocations are made under these two programs.

Community Development Block Grant: Small Cities Program (HUD- and State-Administered) (14.219)

Program Objectives: The primary objective of this program is the development of viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income in non-entitled areas.

Federal Agency: Department of Housing and Urban Development, Community Planning and Development

Governing Authority: Public Laws or Acts: Housing and Community Development Act of 1974, Title I, as amended; Public Law 93-383, as amended (42 USC §§5301-5320). Allocation provisions are found at 42 USC §5306(d). Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: 24 CFR 570, Subpart F.

Financial Information: Account Identification: 86-0162-0-1-451 Obligations: FY 83 $1,019,850,000 (does not include a supplemental appropriation of over $220 million under the "Jobs Bill"); FY 84 $1,019,940,000; and FY 85 $1,023,800,000

Formula Narrative

Allocations are made to state areas outside metropolitan cities and urban counties (which are not automatically entitled to received funds under 14.218). Funds are awarded to areas on a discretionary basis, by HUD or the state, depending on who is responsible for administering the program.

A state's allotment is based on one of two formulas, whichever gives a larger allotment. The first formula is based on each state's percentage share of the total of three weighted factors: non-entitlement population (25 percent), non-entitlement population below the poverty level (50 percent) and the number of housing units in non-entitlement areas with 1.01 persons or more per room (25 percent).

The second formula is also based on each state's share of three weighted factors: non-entitlement population in poverty (30 percent), the number of pre-1940 housing units in non-entitlement areas in a state (50 percent), and non-entitlement population (20 percent).

After each state's share is determined, allocations are then ratably reduced to conform to appropriations.

Mathematical Structure: Allocations are based on the greater of:

Formula A
STATE SHARE = .25*(POP/POPTOT) + .50(POV/POVTOT) + .25*(CROWD/CROWDTOT)
Formula B
STATE SHARE = .20*(POP/POPTOT) + .30*(POV/POVTOT) + .50*(AGE/AGETOT)

Definitions:
POP = non-entitlement population in a state in 1980
POPTOT = non-entitlement population in all states in 1980
POV = number of people below poverty level in non-entitlement areas in a state in 1980
POVTOT = total number of people below poverty level in non-entitlement areas in all states in 1980
CROWD = number of housing units in non-entitlement areas in a state with 1.01 persons or more per room
CROWDTOT = total number of housing units in non-entitlement areas in all states with 1.01 persons or more per room
AGE = number of year-round housing units in non-entitlement areas in a state built before 1940
AGETOT = number of year-round housing units in non-entitlement areas in all states built before 1940

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	N/A.
Number of persons below the poverty level. (POV)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	N/A.
Housing units with 1.01 or more persons per room. (CROWD)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	N/A.
Housing units built before 1940. (AGE)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	N/A.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: The Small Cities program can be administered by the state government if it chooses to do so, or by HUD. State-administered and HUD-administered programs are administratively treated as two separate programs by the CFDA (which codes them as 14.219 and 14.228). Both use the same formula and we have reported them here under the single CFDA number of 14.219. In either case, once funds are allocated among states, they are awarded to localities on a discretionary basis (however, a few states use their own formulas to allocate funds to local areas).

Urban Development Action Grants (14.221)

Program Objectives: To assist severely distressed cities and urban counties, and non-distressed cities and urban counties containing pockets of poverty, in alleviating economic deterioration by means of increased public and private investment in order to aid in economic recovery to strengthen the economic, employment and tax bases of these cities.

Federal Agency: Department of Housing and Urban Development, Community Planning and Development

Governing Authority: Public Laws or Acts: Housing and Community Development Act of 1974, Public Law 93-383 as amended (42 USC §§5301 et seq.). Allocation provisions are found at 42 USC §5306. Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: Matching provisions are found at 24 CFR 570.459(b)(2) and 570.466(c)(2).

Administrative Rule: 49 FR 5050 (1984).

Financial Information: Account Identification: 86-0170-0-1-451
Obligations: FY 83 $528,859,000; FY 84 $740,313,000; and FY 85 $559,300,569

Formula Narrative

In this program a formula is not used to allocate funds; rather a two-step process has been developed to first determine eligibility and, if the total amount of fundable proposals from eligible communities exceeds the amount available, to then rank the project proposals to determine who will be funded.

Eligibility Determination
Three classes of communities are eligible for funds: distressed large cities and urban counties, distressed small cities, and non-distressed communities with "pockets of poverty." Seventy-five percent of total funds are reserved for large cities and urban counties; 25 percent is reserved for small cities of less than 50,000 population. Pockets of poverty can be in either, but may not exceed 20 percent of total funding. The definition of "distressed" varies, depending on which of the three population classes a community may be classified.

Large cities or urban counties must pass at least 3 of 7 minimum standards of distress: (1) the percent of pre-1940 housing units must exeed the median for all large cities, (2) the increase in per capita income (1969-79) must be below the median, (3) the percentage change in retail and manufacturing jobs must be below the median, (4) the unemployment rate must be above the median, (5) population growth between 1960 and 1980 must, in percentage terms, be below the median, (6) a community must be in (or be partially in) a "labor surplus area" which the Department of Labor defines as having an unemployment rate of 10 percent or 120 percent of the national average for the previous two years, whichever is less and (7) the percentage of a locality's population with income below the poverty level must be above the median for all applicants. If a community has a poverty population that is half the median, it must meet 4 of the 6 other factors.

Small cities of 25,000 to 49,999 must meet 3 of 6 of the standards noted above. Unemployment data (item 4) are excluded. Only two standards must be met if a community's poverty factor is twice the median or if the poverty factor is above the median and pre-1940 housing is twice the median. If the poverty factor is less than half the median, the community must meet 4 of the 6 factors.

Small cities of less than 25,000 must meet 3 of 5 standards. Jobs (item 3) and unemployment data (item 4) are excluded. Again, certain cases result in variations in the the standards to be met.

Pockets of poverty may be established in localities which cannot qualify based on community-wide characteristics. A "pocket" must meet minimum size requirements (2,500 to 10,000 population depending on the size of the locality) and two income criteria: (1) 70 percent or more of the households must have incomes below 80 percent of the locality's median income and (2) 30 percent of the households must have incomes below the national poverty level.

Ranking of Eligible Recipients

Once a community is determined to be eligible, its proposal is ranked based on its score on three components: (1) "impact" (a maximum of 40 points), (2) "distress" (a maximum of 30 points), and (3) "project" (a maximum of 30 points). Thus a project can receive a maximum score of 100 points in total.

The "impact" score is composed of three factors: (1) percent of pre-1940 housing units (maximum of 20 points—or 50 percent of total points possible), (2) percent of people in poverty (maximum of 12 points, or 30 percent of total points possible), and (3) population growth lag (maximum of 8 points, or 20 percent).

For large cities and urban counties the "distress" score is comprised of three equally weighted factors, (1) the change in per capita income between 1969 and 1979 (maximum of 10 points), (2) the percentage change in retail and manufacturing jobs between 1972 and 1977 (maximum of 10 points), and (3) unemployment rate (maximum of 10 points).

For small cities, the "distress" score is comprised of two factors: (1) per capita income change between 1969 and 1979 (maximum of 10 points), and (2) the two year unemployment average used to designate Labor Surplus Areas (maximum of 20 points).

The "project" score is comprised of 17 factors (for a possible total of 30 points). The major factors include: (1) the ratio of private investment to UDAG funds (10 points), (2) amount of UDAG funds per job, where the fewer UDAG dollars per job results in a higher score (6 points), and (3) the number of new permanent jobs created (2 points). The remaining 14 factors are identified in the "Mathematical Structure" section below.

Scores on each of the 3 major components are totaled and projects ranked. Starting with the highest scoring one, projects are funded in the order they are ranked until available funds are exhausted. Separate rounds of funding are held for large and small cities. Funding cycles are held for each group several times a year.

Mathematical Structure:

Eligibility

See Formula Narrative; based on median cut off points, for up to 7 data elements.

Ranking

All variables (e.g. age, poverty, etc.) are measured in terms of a community's percentile ranking (in relation to all other communities) on the factor in question, which is in turn multipled by the maximum points possible to determine the recipients score on each factor:

SCORE (maximum of 100 points)

where,

IMPACT (maximum of 40 points) = 20*AGE + 12*POV + 8*GROWTH

DISTRESS [large cities] (maximum of 30 points) = 10*PCI + 10*JOBS + 10*UNEMPLOY

DISTRESS [small cities] (maximum of 30 points) = 10*PCI + 20*LSA

PROJECT (maximum of 30 points) = 10*LEVERAGE + 6*RATIO + 2*NEWJOBS + 1*LOWJOBS + 1*CETA + 1*COMMIT + 1*TAX + .5*RETAIN + .5*CONSTRUCT + .5*DEVELOP + .5*ECON + 1*TIME + 1*PERF + 1*RELOCATE + 1*ENERGY + 1*MINORBUS + 1*MINORJOBS

Definitions: All data elements are measured by the community's percentile ranking on each factor listed:

AGE = percent of pre-1940 housing units in a locality
POV = the percent of a locality's population with income below the poverty level
GROWTH = the percentage growth of a locality's population between 1960 and 1980 (1970 and 1980 for small cities)
PCI = increase, in dollars, in a locality's per capita income from 1969 to 1979
JOBS = percentage change in retail and manufacturing jobs in a locality between 1972 and 1977
UNEMPLOY = a locality's unemployment rate
LSA = "labor surplus" area designated by the BLS. There is a maximum of 20 points for small cities; 10 points if locality is in a county that meets the labor surplus area (LSA) threshold; one point is added for every percentge point the county's (or the balance of the county, or locality over 50,000) 2-year average unemployment rate is above the LSA threshold and one point is deducted for every percentage point the locality's unemployment rate is below the LSA threshold.
LEVERAGE = leverage ratio of UDAG dollars to private dollars for the project
RATIO = UDAG dollars per new permanent job to be created by the project
NEWJOBS = number of new jobs created by the project

LOWJOBS = percent of jobs accessible to low and moderate income individuals, including the unemployed
CETA = percent of CETA jobs
COMMIT = state and local funds commited to the project per UDAG dollars
TAX = tax benefits per UDAG dollar for the project
RETAIN = jobs retained due to the project
CONSTRUCT = construction jobs created by the project
DEVELOP = impact of the project on the locality's physical development
ECON = project's impact on economic conditions in the locality
TIME = timeliness of the project
PERF = demonstrated performance of the locality in housing and community development programs
RELOCATE = relocation factors in the project
ENERGY = energy concerns related to the project
MINORBUS = minority business participation in the project
MINORJOBS = percent of minority jobs created by the project

Data Sources

Data Element	Source	Data Element Type
Pre-1940 housing units. (AGE)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	Eligibility criterion.
Per capita income. (PCI)	Census Bureau, "Census of Population and Housing," 1970 and 1980.	Eligibility criterion.
Retail and manufacturing jobs. (JOBS)	Census Bureau, "Economic Census," Series MC77-A and RC77-A. Data from 1972 and 1977.	Eligibility criterion.
Unemployment rate. (UNEMPLOY)	BLS, "Monthly Employment and Unemployment Statistics," data are an average for calendar year 1982.	Eligibility criterion.
Population growth. (GROWTH)	Census Bureau, "Census of Population and Housing," 1960, 1970 and 1980.	Eligibility criterion.
Poverty population. (POV)	Census Bureau, "1980 Census of Population and Housing," PHC80-2-1 (1983).	Eligibility criterion.
Labor surplus area. (LSA)	BLS, "Area Trends in Employment and Unemployment," (monthly); 24-month averages for 1981 and 1982 were used.	Eligibility criterion.

Matching Requirements: Yes, for "pockets of poverty" areas only. Cities must provide a 20 percent match. The private sector, in the remaining areas, must contribute 2.5 times the grant amount for the community to qualify for a grant.

Maintenance of Effort Requirement: No.

Comments: HUD's formula expression differs from that shown here, but ours and theirs are algebraically equivalent.

Scores for each of the sub-factors used to rank projects (e.g., number of pre-1940 housing units) are converted from percents to point scores by first computing the percentile ranking of a community on each subfactor and then multiplying the percentile by the maximum number of points allowed. For example, a community percentile ranking of 90% on a factor with a maximum point total of 20 would have a score of 18 on that factor.

Rental Housing Rehabilitation (14.230)

Federal Agency: Department of Housing and Urban Development, Community Planning and Development

Program Objectives: To increase the stock of standard affordable rental housing available to lower income tenants. Vouchers or Section 8 certificates will be provided to permit eligible tenants to remain in rehabilitated units, to move to other standard housing or to permit eligible new tenants to move into the units.

Governing Authority: Public Laws or Acts: United States Housing Act of 1937, Public Law 75-412, Section 17, as added by the Domestic Housing and International Recovery and Financial Stability Act, Public Law 98-181, Title I, Chapter I, Title III, Section 301, as amended (42 USC §1437o). Allocation provisions are found at 42 USC §1437o(b). Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: Allocation provisions are detailed in 24 CFR 511.30 (1984). Matching provisions are in 24 CFR 511.10(e).

Financial Information: Account Identification: 86-0134-1-1-451
Obligations: FY 83 not applicable; FY 84 $145,384,000; and FY 85 $152,596,000

Formula Narrative

Funds are first allocated to state areas and then allocated within states to CDBG-entitlement areas (cities of 50,000 population or more, urban counties and consortia) using the same formula. Remaining funds within each state area are allocated to the state government for projects in non-entitlement areas.

Allocations made to state areas are based on a state's weighted share of: (1) total rental units in urban areas in the U.S. where the head of household is at or below the poverty level (25 percent); (2) total rental units in urban areas in the U.S. which were built before 1940 and the head of household is at or below the poverty level (25 percent); and (3) total rental units in urban areas in the U.S. which have one or more of the following problems: overcrowding, incomplete kitchen facilities, incomplete plumbing or high rent costs (50 percent).

Substate allocations to CDBG entitlement areas are made using the same 3 factor formula, but based on an entitlement areas weighted share. If a jurisdiction is allocated less than $50,000 based on the formula, it is not entitled to any funding. These funds are added to be the "pot" designated for non-entitlement communities and reallocated to them. Localities affected by this provision then participate in the state program on a non-entitlement basis. Funds remaining after the formula allocation to entitlement areas are distributed by the states to non-entitlement communities, at their discretion.

Mathematical Structure:
STATE SHARE = .25*(POOR/POORTOT) + .25*(AGE/AGETOT) + .50*(PROB/PROBTOT)
ENTITLEMENT SHARE = .25*(ENTPOOR/POORTOT) + .25*(ENTAGE/AGETOT) + .50*(ENTPROB/PROBTOT)

Definitions:
POOR = number of rental units in urban areas in a state where the head of household is at or below the poverty level
POORTOT = total number of rental units in urban areas in the U.S. where the head of the household is at or below the poverty level
ENTPOOR = number of rental units in an entitlement area where the head of household is at or below the poverty level
AGE = number of rental units in urban areas in a state which were built before 1940 and where the head of the household is at or below the poverty level
AGETOT = total number of rental units in urban areas in the U.S. which were built before 1940 and where the head of the household is at or below the poverty level
ENTAGE = number of rental units in an entitlement area which were built before 1940 and where the head of household is at or below the poverty level
PROB = number of rental units in urban areas in a state which have one or more of the following problems: (1) overcrowding (more than 1.00 persons per room); (2) with running water, stove or refrigerator); (3) incomplete plumbing (lacking hot and cold running water, flush toilet, or bath or shower inside the unit for the exclusive use of the occupants, or (4) high rent costs (more than 30 percent of household income usedfor rent)
PROBTOT = total number of rental units in urban areas in the U.S. which have one or more of the above problems
ENTPROB = number of rental units in an entitlement area which have one or more of the above problems.

Data Sources

Data Element	Source	Data Element Type
Rental units where head of household has income at or below poverty level. (POOR, ENTPOOR)	Census Bureau, special unpublished tabulation based on 1980 decennial census.	Workload factor.
Rental units built before 1940 where head of household has income at or below poverty level. (AGE, ENTAGE)	Census Bureau, special unpublished tabulation based on 1980 decennial census.	Workload factor.
Rental units with specified problems. (PROB, ENTPROB)	Census Bureau, special unpublished tabulation based on 1980 decennial census.	Workload factor.

Matching Requirements: Federal funds generally may not exceed 50 percent of project costs. Under certain circumstances, the Secretary may approve federal funding of up to 75 percent of total rehabilitation costs if refinancing is involved. In addition, federal funds cannot exceed an average of $500 per unit, unless a high-cost exception has been approved by HUD.

Maintenance of Effort Requirement: No.

Comments: None.

Solar Energy and Energy Conservation Bank (14.550)

Program Objectives: To reduce the nation's dependence on foreign sources of oil by offering financial incentives in the form of grants or subsidized loans for the purchase and installation of conservation and solar measures.

Federal Agency: Department of Housing and Urban Development, Solar Energy and Energy Conservation Bank

Governing Authority: Public Laws or Acts: Solar Energy and Energy Conservation Act of 1980, Public Law 96-294, Title V, as amended (12 USC §§3601 et seq.). Allocation provision found at 12 USC §3614 and §3615. Funding is authorized through September 30, 1987.

Code of Federal Regulations: 24 CFR 1800. Allocation provisions are found at 24 CFR 1800.95.

Administrative Rule: Allocation provision found in 50 FR 9048-9049.

Financial Information: Account Identification: 86-0179-0-1-272
Obligations: FY 83 $30,085,000; FY 84 $17,880,000; and FY 85 $32,655,000

Formula Narrative

Allocations are made to states. Each state's allotment is made in proportion to (FY 1985) the product of a need indicator and an incentive factor.

The need indicator is based on the number of households and the amount of energy consumed (in BTUs) per household, weighted equally (i.e., each is counted 50 percent). The number of households is measured by weighting the number of low-income households by 50 percent, the number of moderate-income households by 30 percent; and the number of high-income households by 20 percent). Each of the need indicators are expressed as a percent of the largest state (i.e., the largest state for each data element = 100 points) before being weighted and added together.

The incentive factor is comprised of four factors based on the activity of the previous 24 months: (1) annual BTU savings for subsidized projects in a state, per dollar of federal grant subsidy (10 percent); (2) federal and non-federal dollars invested in subsidized projects, per dollar of federal grant subsidy (10 percent); (3) dollars of federal grant subsidy expended, per dollar of total federal funds obligated to a state (50 percent); and (4) dollars of federal grant subsidy expended, per dollar of federal funds expended by all states (30 percent). Each data element in the incentive factor is converted to a scale which ranges from 0 to 5 points prior to weighting and adding them together. If a state was new to the program, its incentive factor equalled the minimum of 1.0.

The incentive factor is reduced on a sliding scale if other federal funds are used to match the funds provided through this program. Reductions are made at the rate of 5 percent for each 10 percent of other federal funds used in a state's match, up to a maximum of 50 percent if all matching funds are provided through other sources of federal aid.

Allocations to states that are new to the program are raised to a minimum of $120,000 if the initial formula allotment is below that amount. Other participating states are guaranteed a $20,000 minimum.

Mathematical Structure:
STATE SHARE = (NEED * INCENT)/SUM OF NUMERATOR

where,

NEED = .50 * (.50 * LOINCHH + .30 * MODINCHH + .20 * HIINCHH) + .50 * ENERGY

INCENT = 1.0 + [P * (.10 * BTUSAVE + .10 * INVEST + .50 * EXPEND + .30 * COMMIT)]

Definitions:
All data elements in the need factor are expressed as a percent of the largest state (i.e., largest state = 100 percent):

LOINCHH = number of households in each state with incomes 80 percent or less of state median income
MODINCHH = number of households in each state with incomes between 80 and 150 percent of state median
HIINCHH = number of households in each state with incomes above 150 percent of state median
ENERGY = amount of energy consumed per household in a state, in BTUs

All data elements in the incentive factor (INCENT) are rated on a scale from 0 to 5:

BTUSAVE = BTU savings as a percent of grant subsidy in prior 24 months (in each state)
INVEST = dollars invested in subsidized projects as a percent of grant subsidies in prior 24 months (in each state)
EXPEND = proportion of obligated grant funds expended in prior 24 months
COMMIT = state's proportionate share of grant funds expended in the prior 24 months
P = penalty factor, where the incentive factor is reduced by 5 percent for every 10 percent of other federal funds used to subsidize the matching requirement for this program. The minimum penalty is 5 percent; the maximum is 50 percent. (P = 1.0 if no other federal funds are used).

Data Sources

Data Element	Source	Data Element Type
Number of households by income class. (LOINCHH, MODINCHH, HIINCHH)	Census Bureau, "1980 Census of Population General Social and Economic Characteristics," PC80-1-C1, Table 71 (1983).	Workload factor.
Energy consumed per household (i.e., in BTUs) (ENERGY)	Census Bureau, Characteristics of Housing Units 1980," and DOE, "State Energy Data Report," (1980).	Workload factor.
BTU savings. (BTUSAVE)	Energy audits and estimates conducted by each state and reported to DOE (semi-annual, unpublished).	Incentive factor.
Dollars invested in subsidized projects. (INVEST)	Energy audits and estimates conducted by each state and reported to DOE (semi-annual, unpublished).	Incentive factor.
Proportion of total funds expended. (EXPEND)	Energy audits and estimates conducted by each state and reported to DOE (semi-annual, unpublished).	Incentive factor.
Proportion of state share of total funds expended. (COMMIT)	Energy audits and estimates conducted by each state and reported to DOE (semi-annual, unpublished).	Incentive factor.
Penalty factor. (P)	Energy audits and estimates conducted by each state and reported to DOE (semi-annual, unpublished).	Incentive factor.

Matching Requirements: Federal match is 50 percent of project costs up to a maximum amount which varies, depending on building size. For a single family residential building the maximum amount for a grant subsidy is $1,250.

Maintenance of Effort Requirement: No.

Comments: None.

Public and Indian Housing (14.850)

Program Objectives: To provide and operate cost-effective, decent, safe and sanitary dwellings for families of low and very low income through an authorized Public or Indian Housing Authority (PHA).

Federal Agency: Department of Housing and Urban Development, Public and Indian Housing

Governing Authority: Public Laws or Acts: United States Housing Act of 1937, Public Law 75-412, as amended by the Housing and Community Development Act of 1974, Public Law 93-383 as amended (42 USC §1437g). Allocation provisions are found at 42 USC §1437g. Funding authorization is continuous.

Code of Federal Regulations: 24 CFR 990.

Administrative Rule: HUD, "Performance Funding System Handbook", No. 7475.13 (February 1977, plus updates).

Financial Information: Account Identification: 86-0163-0-1-604 Obligations: FY 83 $1,154,400,000; FY 84 $1,202,894,000; and FY 85 $1,230,900,000

Formula Narrative

Allocations are made to public housing authorities (PHAs) based on the extent to which their projected allowable expenses exceed their projected income from rents and other sources. Projected expenses are based on the cost of operating an average unit in a particular kind of building in a specific region of the country, plus average utility costs. Operating costs are based on three items: prior year allowable expense level, the change in "allowable expenses" from the prior year, and the estimated local rate of inflation.

The change in "allowable expenses" is calculated by weighting the change in the average bedroom size in a project, the change in the average age of buildings in a project, and the change in the average height of buildings in a project, based on an annual survey of PHAS around the country. Allowable utility costs are based on a three-year moving average of consumption by the PHA.

The total amount received by a PHA is calculated by determining the per unit rate for federal support and multiplying this by the number of available units for rent.

Mathematical Structure:

$$\text{PHA ALLOTMENT} = \text{APT} * [[(\text{INFL} * \text{COST}) + \text{UTIL}] - \text{INC}]$$

NOTE: This formula does not represent the exact formula used due to its complexity. The formula shown above is intended to convey the conceptual structure of the actual formula. The more technically correct formula includes weighted allocations based on the results of regressions, based on data collected from the annual surveys of a sample of PHAS (119 for the FY 1984 allocation).

Definitions:

APT = Annual average number of apartments for rent by a PHA
INFL = inflation index based on local government employee wages (wage costs) and the gross national product implicit price deflator for state-local government (non-wage costs)
COST = a weighted average of cost factors that include:
-average age of PHA projects
-average height of PHA housing units
-average number of bedrooms in PHA housing units
UTIL = estimated utility expenses
INC = estimated income (rents, etc.) from PHA projects

Data Sources

Data Element	Source	Data Element Type
Number of apartments. (APT)	HUD, Form 52720, "Funding Formula Data Collection Form" (annual, unpublished).	Workload factor.
Local inflation rate. (INFL)	HUD, annual, unpublished agency calculations based on Census's state and local government wage survey and DRI econometric projections (October 1982).	Adjustment to unit cost factor.
Allowable costs. (COST)	HUD, Form 52720D, "Calculation of Revised Allowable Expense Level" (annual, unpublished).	Unit cost factor.
Utility expenditure level. (UTIL)	HUD, Form 52722A, "Calculation of Allowable Utility Expense Level" (annual, unpublished).	Unit cost factor.
Project Income. (INC)	HUD, Form 52721A, "Calculation of Performance Funding System Operating Subsidy" (annual unpublished).	N/A.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: With the exception of one year, the formula has always been fully funded. When appropriations are insufficient to fully fund the formula, PHA allocations are reduced on a pro-rated basis.

Department of the Interior

R. Philip/Uniphoto

Indian Education: Assistance to Schools (15.130)

Federal Agency: Department of Interior, Bureau of Indian Affairs

Governing Authority: Public Laws or Acts: Johnson-O'Malley Act, Public Law 73-167, as added by the Indian Self-Determination and Education Assistance Act, Public Law 93-638 (25 USC §§450 et seq. and 25 USC §13). This program has continuous funding authorization.

Code of Federal Regulations: Allocation provisions are at 25 CFR 273.31.

Program Objectives: To provide supplemental education programs for eligible Indian students attending public schools.

Financial Information: Account Identification: 14-2100-0-1-501
Obligations: FY 83 $26,229,000; FY 84 $26,000,000; and FY 85 $25,674,000

Formula Narrative

Allocations are made among state areas and are passed through to eligible contractors, such as tribal organizations and local education agencies. Each state's share is determined by the number of eligible students in each state weighted by that state's average education expenditures (federal, state and local combined) per pupil, which is expressed as a percent of the national average per pupil expenditure. If a state's average is below the national average, its ratio is set equal to 1.00.

Allocations among contractors within a state are based on their share of the total number of eligible students within the state. Funding for individual contractors may not exceed 25 percent of the state or national average per pupil expenditure, whichever is greater.

Mathematical Structure:
STATE SHARE = [STUDENTS * (EDEXP/EDEXPUS)]/SUM OF NUMERATOR

Definitions:
STUDENTS = number of students of recognized tribes served by school districts
EDEXP = state average per pupil expenditure
EDEXPUS = national average per pupil expenditure

Data Sources

Data Element	Source	Data Element Type
Number of students of recognized tribes served by school districts. (STUDENTS)	Data supplied to the Bureau of Indian Affairs by state education agencies, tribes and schools.	Workload factor.
Per pupil expenditures. (EDEXP, EDEXPUS)	ED, NCES, "Revenues and Expenditures for Public Elementary and Secondary Education, FY 1981," Table 10 (updated annually).	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: None.

Fish Restoration (15.605)

Program Objectives: To support projects designed to restore and manage sport fish populations for the preservation and improvement of sport fishing and related uses of these fisheries resources.

Federal Agency: Department of the Interior, U.S. Fish and Wildlife Service

Governing Authority: Public Laws or Acts: Federal Aid in Fish Restoration Act of 1950, Public Law 81-681, as amended (16 USC §§777-777k). Allocation provision found in 16 USC §§777c and 777k. Matching provision found in 16 USC §777e. This program has continuous funding authorization.

Code of Federal Regulations: Matching provisions are in 50 CFR 80.12.

Financial Information: Account Identification: 14-8151-0-7-303 Obligations: FY 83 $37,273,400; FY 84 $35,423,200; and FY 85 $37,775,800

Formula Narrative

Allocations are made to states, territories and the District of Columbia. Through FY 1984, up to 8 percent could be set aside for federal administration (starting in FY 1985, the maximum set aside is 6 percent). One percent of the remainder is set aside for Puerto Rico and one-third percent is set aside for each of the territories and for the District of Columbia. The remainder of the appropriation is distributed as follows: 40 percent is based on a state's area (including coastal and Great Lakes waters) in proportion to total U.S. area, and 60 percent is based on a state's share of paid fishing license holders in the nation. A state may receive no less than 1 percent nor more than 5 percent of the total appropriation.

Mathematical Structure:
STATE SHARE = .40*(AREA/AREATOT) + .60*(F/FTOT)

Definitions:
AREA = state area (including coastal waters and Great Lakes waters)
AREATOT = total U.S. area (including coastal waters and Great Lakes waters)
F = paid fishing license holders in a state
FTOT = paid fishing license holders in all states

Data Sources		
Data Element	**Source**	**Data Element Type**
Land area. (AREA)	Census Bureau, "Area Measurement Reports," Series GE-20, No. 1; and NOAA, Coastline of the United States (1970).	Workload factor.
Paid fishing license holders. (F)	Fish and Wildlife Service, annual unpublished data provided by states.	Workload factor.

Matching Requirements: Federal funds shall not exceed 75 percent of project costs.

Maintenance of Effort Requirement: None.

Comments: None.

Wildlife Restoration (15.611A)

Program Objectives: To support projects to restore or manage wildlife populations and the provision of public use of these resources.

Federal Agency: Department of the Interior, U.S. Fish and Wildlife Service

Governing Authority: Public Laws or Acts: Federal Aid in Wildlife Restoration Act of 1937, Public Law 75-415, as amended (16 USC §§669 et seq.). The allocation provision is found in 16 USC §669c(a). The matching provision is found in 16 USC §669e. This program has continuous funding authorization.

Code of Federal Regulations: Matching provisions are in 50 CFR 80.12.

Financial Information: Account Identification: 14-9923-0-2-303
Allocation: FY 83 $88,240,000; FY 84 $73,000,000; and FY 85 $64,910,000

Formula Narrative

Allocations are made to states and territories. Up to 8 percent is set aside for program administration. Puerto Rico receives one-half of one percent of the funds available for distribution. Each of the other territories receive one-sixth of one percent of the total. The remainder is distributed among states as follows: Fifty percent is allocated based on each state's proportionate share of total land area and 50 percent on each states share of hunting license holders. No state may receive more than 5 percent nor less than one-half percent of the total amount distributed.

Mathematical Structure:
STATE SHARE = .50*(AREA/AREATOT) + .50*(HUNT/HUNTTOT)

Definitions:
AREA = state land area in square miles
AREATOT = national land area in square miles
HUNT = paid hunting license holders in a state
HUNTTOT = paid hunting license holders in all states

Data Sources

Data Element	Source	Data Element Type
Land area. (AREA)	Census Bureau, "Area Measurement Reports," Series GE-20 (1970).	Workload factor.
Paid hunting license holders. (HUNT)	Fish and Wildlife Service, unpublished data collected annually from each state.	Workload factor.

Matching Requirements: Federal funds may not exceed 75 percent of project costs, except the match required for territories may not exceed 25 percent.

Maintenance of Effort Requirement: No.

Comments: None.

Hunter Safety and Education (15.611B)

Program Objectives: To support projects to provide facilities and services for conducting a hunter safety program.

Federal Agency: Department of the Interior, U.S. Fish and Wildlife Service

Governing Authority: Public Laws or Acts: Federal Aid in Wildlife Restoration Act of 1937, Public Law 75-415, as amended (16 USC §§669 et seq.). The allocation provision is found in 16 USC §669c(b). The matching provision is found in 16 USC §669g. This program has continuous funding authorization.

Code of Federal Regulations: Matching provisions are in 50 CFR 80.12.

Financial Information: Account Identification: 14-9923-0-2-303
Allocations: FY 83 $18,820,000; FY 84 $15,450,000; and FY 85 $14,190,000

Formula Narrative

Allocations are made to states. Each state's allotment is based on its proportionate share of the total U.S. population. No state, however, shall receive less than 1 percent, nor more than 3 percent of the total amount being allocated.

Mathematical Structure:
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = national population

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.

Matching Requirements: Federal funds shall not exceed 75 percent of project costs.

Maintenance of Effort Requirement: No.

Comments: None.

Department of the Interior

Historic Preservation Grants-In-Aid (15.904)

Program Objectives: To expand and maintain the National Register of Historic Places, the nation's listing of districts, sites, buildings, structures, and objects signficant in American history, architecture, archeology, and culture at the national, state and local levels; to provide matching grants-in-aid for the identification, evaluation, and protection of historic properties by such means as acquisition, development.

Federal Agency: Department of the Interior, National Park Service

Governing Authority: Public Laws or Acts: National Historic Preservation Act, Public Law 89-665, as amended by the National Historic Preservation Act Amendments of 1980, Public Law 96-515, as amended (16 USC §§470 et seq.). Allocation provisions are found at 16 USC §470c. Matching provisions are found at 16 USC §470b. Funding is authorized for certain provisions through September 30, 1987.

Code of Federal Regulations: 36 CFR 61.

Administrative Rule: National Register Programs Guideline (NPS-49, Chapter 2) October 1984.

Financial Information: Account Identification: 14-5140-0-2-303
Obligations: FY 83 $51,000,000; FY 84 $26,533,000; and FY 85 $25,480,000

Formula Narrative

Allocations are made to states based on two components: a base allotment (70 percent) and each state's workload and performance (30 percent).

Base allotments are calculated on a 3-year average of each state's relative proportion of the total of all states' base allotments made in the prior 3 years. Base allotments are subject to a maximum of $350,000 or the prior year's base allotment minus 10 percent, whichever is greater. The excess funds are reallocated to states not subject to the maximum.

The workload and performance component allocates the remaining 30 percent based on each state's proportionate share of four weighted factors: number of properties listed on the National Register of Historic Places (10 percent), state scores (as computed by the National Park Service) for their reviews of federal projects and efforts to assist federal agencies' compliance with their preservation responsibilities (10 percent), state scores for comprehensive planning and survey (45 percent), and state scores for activities related to preservation tax incentives (35 percent). The preservation tax incentives subcomponent has two parts: (1) $15,000 for each state that has a fulltime historical architect to perform activities related to the Economic Recovery Tax Act, and (2) the number of historic preservation tax certifications made by the state.

Mathematical Structure:
STATE SHARE (base allotment of 70 percent) = PRIOR/PRIORTOT

STATE GRANT (performance/workload formula of 30 percent) =
.10*PW*(PROP/PROPTOT) + .10*PW*(REVIEW/REVIEWTOT) +
.45*PW*(SURV/SURVTOT) + $15,000*D +
[.35*PW - SUM OF ($15,000*D)]*(CERT/CERTTOT)

Definitions:
PRIOR = prior year base allotment for a state
PRIORTOT = prior year base allotment for all states
PW = amount of funds to be allocated by the performance/workload formula
PROP = number of properties in a state listed on the National Historical Register in the prior year
PROPTOT = number of properties in the U.S. listed on the National Historical Register in the prior year
REVIEW = a state's score for their reviews of federal projects and efforts to assist federal agencies with their preservation responsibilities in the prior year
REVIEWTOT = total scores for their reviews of federal projects and efforts to assist federal agencies with their preservation responsibilities in the prior year
SURV = a state's score for survey and planning activities
SURVTOT = total scores for survey and planning activities
D = 1.0 if a state has a fulltime architect on its staff to support activities under the Economic Recovery Tax Act; "0" if no architect is present
CERT = a state's score for preservation tax incentive certifications
CERTTOT = total scores for preservation tax incentive certifications

Data Sources

Data Element	Source	Data Element Type
Properties listed on National Register for Historic Places. (PROP)	Dept. of Interior, National Register of Historic Places," (1983).	Workload factor.
Score for perservation tax incentives. (CERT, D)	Dept. of Interior, unpublished record and reports (1983).	Incentive factor.
Score for state reviews of federal projects and their preservation assistance efforts. (REVIEW)	State-submitted reports (1983).	Workload factor.
Score for survey and planning. (SURV)	State-submitted reports (1983).	Workload factor.

Matching Requirements: Federal funds provide 50 to 70 percent of total program costs for survey and inventory activities; 50 percent for all other program purposes.

Maintenance of Effort Requirement: No.

Comments: The FY 1986 formula differs in several respects: (1) the basic program allotment is distributed on a 3-year average of total allocations rather than base allocations; and (2) the performance/workload formula deletes the $15,000 for an historic architect, reweights the PROP, REVIEW, SURV and CERT factors, and adds a new variable: the number of local governments certified to participate.

Land and Water Conservation Fund (15.916)

Program Objectives: To provide financial assistance to the states and their political subdivisions for the preparation of Statewide Comprehensive Outdoor Recreation Plans (SCORPs) and acquisition and development of outdoor recreation areas and facilities for the general public, to meet current and future needs.

Federal Agency: Department of the Interior, National Park Service

Governing Authority: Public Laws or Acts: Land and Water Conservation Fund Act of 1965, Public Law 88-578 as amended (16 USC §§4601-4 to 4601-11). Allocation provisions are found at 16 USC §4601-8(b). Matching provisions are found at 16 USC §4601-8(c). Funding is authorized through September 30, 1989.

Financial Information: Account Identification: 14-5035-0-2-303
Obligations: FY 83 $94,312,191; FY 84 $107,699,000; and FY 85 $96,565,000

Formula Narrative

Allocations are made to states, the District of Columbia, and the territories. Forty percent of the appropriation is distributed equally among the states (the District of Columbia, the Northern Marianas, Puerto Rico and the territories are treated as one state and this amount is apportioned among them based on their share of the total population in their jurisdictions). The remaining is distributed as follows: 25 percent according to a state or territory's share of total population, 20 percent according to their share of population in urban areas and 15 percent based on whether a state was judged to have performed well in their use of program funds in the prior three fiscal years. No state may receive more than 10 percent of the total amount allocated.

Mathematical Structure:
STATE SHARE = .40*(1/N) + .25*(POP/POPTOT) + .20*(METRO/METROTOT) + .15*(POP/POPTOT)*BONUS

N = number of participating states (see narrative)
POP = state population
POPTOT = national population
METRO = state population in Standard Metropolitan Statistical Areas (SMSAs)
METROTOT = national population in SMSAs
BONUS = 1 for states judged by the agency to have performed well in

obligating and spending program funds in the prior fiscal year and BONUS = 0 for states judged to have not performed well

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC-80-1-A1 (1982).	Workload factor.
Population in metropolitan statistical areas. (METRO)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC-80-1-A1 (1982).	Workload factor.
Number of participating states. (N)	Department of the Interior.	Unit cost factor.
Bonus factor. (BONUS)	Department of the Interior.	Incentive factor.

Matching Requirements: Federal funds shall not exceed 50 percent of project costs, except where authorized by specific legislation.

Maintenance of Effort Requirement: No.

Comments: The law states that 40 percent of the funds will be equally divided among states only for the first $225 million allocated, 30 percent for the next $275 million, and 20 percent for all additional funds. However, since FY 1986 obligations did not exceed $225 million, this provision is not applied in practice.

Department of Justice

Source: GAO

Juvenile Justice and Delinquency Prevention: Allocation to States (16.540)

Program Objectives: To increase the capacity of state and local governments for the development of more effective education, training, research, prevention, diversion, treatment, and rehabilitation programs in the area of juvenile delinquency and programs to improve the juvenile justice system.

Federal Agency: Department of Justice, Office of Juvenile Justice and Delinquency Prevention

Governing Authority: Public Laws or Acts: Juvenile Justice and Delinquency Prevention Act of 1974, Public Law 93-415, as amended (42 USC §§5601 et seq.) Allocation provisions are found at 42 USC §5632. Matching provisions are at 42 USC §5632(c). Funding is authorized through September 30, 1988.

Code of Federal Regulations: Allocation provision is found at 28 CFR 31.301.

Financial Information: Account Identification: 15-0400-0-1-754
Obligations: FY 83 $41,238,000; FY 84 $43,095,000; and FY 85 $42,935,000

Formula Narrative

State allocations are based on each state's share of the population, under age 18. Each state and Puerto Rico will receive a minimum of $225,000 and each territory, $56,250. Up to 7.5 percent of each state's allocation may be set aside by states for planning and administrative purposes. In addition, 5 percent of the minimum shall be available to assist the state advisory group. States must pass at least two-thirds of their remaining funds through to local governments and private agencies.

Mathematical Structure:
STATE SHARE = POP17/POP17TOT

Definitions:
POP17 = a state's population, 17 years old and under
POP17TOT = total U.S. population, 17 years old and under

Data Sources		
Data Element	**Source**	**Data Element Type**
Population, 17 years old and under. (POP17)	Census Bureau, "Population Estimates and Projections," Series p-25, No. 951 Issued May, 1984).	Workload factor.

Matching Requirements: Fifty percent match on a state's 7.5 percent planning funds only. Action programs require no match.

Maintenance of Effort Requirement: Yes.

Comments: None.

Criminal Justice Block Grants (16.573)

Program Objectives: To provide assistance to states and units of local government for programs like neighborhood crime watch, that have been found effective in bettering the criminal justice system.

Federal Agency: Department of Justice, Office of Justice Programs, Bureau of Justice Assistance

Governing Authority: Public Laws or Acts: the Ominibus Crime Control and Safe Streets Act of 1968, Public Law 90-351, Title I, as amended by the Justice Assistance Act of 1984, Public Law 98-473 (42 USC §§3711 et seq.). Allocation provisions are found at 42 USC §3747. Matching provisions are found at 42 USC §3743(b)(1). Funding authorization expires on September 30, 1988.

Code of Federal Regulations: 28 CFR 33; allocation and matching provisions are in Subpart C.

Financial Information: Account Identification: 15-0401-0-1-754
Obligations: FY 84 0; FY 85 $55,518,000; and FY 86 est $53,600,000

Formula Narrative

Each state, Puerto Rico and the Virgin Islands are allocated a base amount of $250,000 and the balance is distributed to each state according to the state's relative share of total population. States must pass on to localities a share of the state's allotment totalling not less than their proportionate share of total state-local criminal justice expenditures.

Mathematical Structure:
STATE SHARE = POP/POPTOT
LOCAL SHARE = EXP/EXPTOT

Definitions:
POP = state population
POPTOT = total U.S. population
EXP = local criminal justice expenditures
EXPTOT = total criminal justice expenditures in a state

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 951 (Issued May, 1984).	Workload factor.
State and Local Criminal Justice Expenditures. (EXP)	DOJ, "Justice Expenditures and Employment in the U.S.," NCJ-87242 (June 1983). Data compiled by Census in 1979.	Workload factor.

Matching Requirements: Federal funds will cover up to 50 percent of program costs, except for Indian tribe law enforcement functions, which will be 100 percent federally funded. The non-federal share must be provided in cash.

Maintenance of Effort Requirement: Yes.

Comments: None.

Department of Labor

Employment Service Administration (17.207)

Program Objectives: To fund a system through the states, for labor exchange and other employment-related services, without charge, to job seekers and to employers seeking qualified individuals to fill job openings.

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: The Wagner-Peyser Act of 1933, Public Law 73-30, Section 6, as added by the Job Training Partnership Act, Public Law 97-300, Title V, Section 501c (29 USC §§1501 et seq.). Allocation provisions are found at 29 USC §49e. Funding authorization is continuous.

Code of Federal Regulations: Allocation provisions are detailed in 20 CFR 652.4.

Financial Information: Account Identification: 16-0179-0-1-504 Obligations: FY 83 $654,414,000; FY 84 (transition period to program year (PY)) $530,995,000; PY 84 est. $740,392,000; and PY 85 est $777,398,000

Formula Narrative

Allocations are made to states and territories. The Secretary may reserve up to 3 percent of total appropriations for discretionary use. Allocations to Guam and the Virgin Islands are based on the percent share of their FY 1983 allotments. Remaining allocations are based on each state's share of two weighted factors: two-thirds is based on civilian labor force and one-third on the number of unemployed. No state may receive less than 0.28 percent of the total available, nor less than 90 percent of its previous year's relative share.

Mathematical Structure:
STATE SHARE = (2/3 * LABOR/LABORTOT) + (1/3 * UN/UNTOT)

Definitions:
LABOR = state civilian labor force
LABORTOT = total civilian labor force in U.S.
UN = number of unemployed in a state
UNTOT = number of unemployed in U.S.

Data Sources		
Data Element	**Source**	**Data Element Type**
Civilian labor force. (LABOR)	BLS, "Current Employment Statistics," 12-month average for the most recent calendar year.	Workload factor.
Number of unemployed. (UN)	BLS, "Unemployment in State and Local Areas," 12-month average for the most recent calendar year.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: Funding shifted in 1984 from a fiscal year (FY) basis to a July 1 - June 30 program year (PY) to be consistent with the Job Training Partnership Act programs (17.250).

Unemployment Insurance: State Administration (17.225)

Program Objectives: To administer (1) a program of unemployment insurance for eligible workers through federal and state cooperation, and (2) payments for worker adjustment assistance.

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: The Social Security Act of 1935, Public Law 74-271, Title III, Section 302, as amended (42 USC §§501 et seq.). Allocation provisions are found at 42 USC §502. Funding authorization is continuous

Code of Federal Regulations: 20 CFR 601.1.

Administrative Rule: Allocation provisions are in "FY 85 State Agency Resource Planning Targets-UI" Field Memorandum No. 93-84, May 1984. Matching provisions for contingency workload costs and administrative costs are in the "FY 85 Contingency Funding Guideline," Field Memorandum No 38-85, January, 1985.

Financial Information: Account Identification: 16-0179-0-1-603, 20-8042-0-7-999
Obligations: FY 83 $1,952,600,000; FY 84 $1,889,400,000; and FY 85 $1,600,600,000

Formula Narrative

Allocations to states, Puerto Rico and the Virgin Islands are based on a forecast of the cost of administering the program in three categories: (1) program staff costs, (2) administrative, staff and technical services costs, and (3) non-personal cost (e.g., rent, utilities, etc.). Before allocations are made, about $100 million is set aside for postage costs and computer automation.

Program staff costs are computed by multiplying (1) the previous year's salary per program staff year (adjusted for increases based on each state's wage scale for state workers) by (2) the number of staff years required to meet projected workloads. (Staff year requirements are based on periodic state-by-state surveys that determine the amount of time needed to perform various employment service functions.) The resulting number of staff years per state cannot fall by more than 15 percent in four functional activities from year to year). Administrative, staff and technical services (AS&T) staff costs are computed by multiplying (1) the previous year's salary for an AS&T staff year (adjusted for state wage scale changes) by (2) the AS&T staff year forecast for the current year. (The AS&T staff year forecast is arrived at by multiplying the current year's program staff year forecast by the previous year's ratio of AS&T-to-program staff years).

Non-personal costs are calculated by multiplying the previous year's non-personal services costs per staff year (adjusted for inflation based on projections in the President's annual budget submission) by the forecasted total staff year requirement (AS&T and program staffs). States are guaranteed they will not receive less than 95 percent of their prior year non-personal costs.

States may receive additional contingency funding, depending on actual caseload experience.

Mathematical Structure:
STATE SHARE = (STAFF1 * SAL1) + (STAFF2 * SAL2) + [(STAFF1 + STAFF2) * NPS]

Definitions:
STAFF1 = number of forecasted program staff years in a state
STAFF2 = number of administrative and technical services (ATS) staff years in a state
SAL1 = program staff salary levels in each state
SAL2 = administrative and technical staff salary levels in each state.
NPS = prior year costs for non-personal services (e.g., rent, utilities, etc.) per staff year, adjusted for inflation

Data Sources		
Data Element	**Source**	**Data Element Type**
Staff year: (STAFF1, STAFF2)		
Number of minutes needed to process units of work.	ETA/UIS, unpublished agency data based on surveys of state agencies, 1979-83.	Workload factor.
Workload forecasts.	ETA/UIS, unpublished forecasts based on state workload reports (Forms ETAS 159, ETAS-130, ETAS-207), January, 1983.	Workload factor.
Minutes per staff year.	ETA/UIS, unpublished agency worksheet, UI-1, March 1983.	Workload factor.
Salaries.(SAL1, SAL2)	ETA/UIS, staff estimate; computed annually based on each state government's salary scales.	Unit cost factor.
Cost estimate for nonpersonal services. (NPS)	ETA/UIS, based on prior year allocation, adjusted for inflation based on President's budget submission.	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Senior Community Service Employment Program (17.235)

Program Objectives: To provide, foster, and promote useful part-time work opportunities (usually 20 hours per week) in community service activities for low-income persons who are 55 years old and older.

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: Older Americans Act, Public Law 89-73, Title V[IX], as added by the Older American Community Service Employment Act, Public Law 94-135, Title I, Section 113(a) as amended (42 USC §3056). Allocation provisions are found at 42 USC §3056d. Matching provisions are found at 42 USC §3056(c). Funding is authorized through September 30, 1987.

Code of Federal Regulations: Matching provision found in 29 CFR 89.76.

Financial Information: Account Identification: 16-0175-0-1-504 Obligations: FY 83 $319,450,000; FY 84 $317,300,000; and FY 85 $326,000,000

Formula Narrative

Allocations are made to state-level representatives of eight national non-profit organizations, as well as state agencies and territories. National non-profit organizations are funded first, states and territories receive the remainder. The Secretary of Labor may reserve between 1 and 3 percent of the amount appropriated in excess of the FY 1978 funding level for projects on improving the transition to private employment.

In the first allocation step, the non-profit groups receive funds sufficient to finance the number of job slots sponsored by such groups in FY 1978. This is done by updating the unit cost of funding each job slot funded in FY 1978.

In the second allocation step, the remaining funds are then allocated among state areas based on each state's share of the U.S. population aged 55 or over, multiplied by a per capita income adjustment factor (or allotment ratio). The allotment ratio has a minimum of 33.3 percent and a maximum of 75 percent (territories are fixed at 75 percent). Each state is guaranteed a minimum allotment of 0.5 percent, or $100,000, whichever is greater. Territories are guaranteed a minimum of 0.25 percent, or $50,000, whichever is greater.

After the state area allotments are made, the amount to be distributed to state agencies is adjusted downward to insure that the national non-profit organizations receive 78 percent of total funds available, as mandated by appropriation legislation. The 78 percent criterion needs only to be met in the aggregate, nationally, not on a state-by-state basis.

Mathematical Structure:

STEP 1

NON-PROFIT SHARE = JOBS * COSTS

STEP 2

STATE SHARE = POP55 * [1- .5*(PCI/PCIUS)]/SUM OF NUMERATOR

Definitions:

JOBS = number of job slots sponsored by non-profit organizations in FY 1978
COSTS = unit cost of each job slot
POP55 = population in a state age 55 or over
PCI = state per capita income
PCIUS = national average per capita income

Data Sources

Data Element	Source	Data Element Type
Number of positions in 1978. (JOBS)	DOL information, collected from sponsors (1978).	Workload factor.
Unit cost of 1978 positions for 12-month period. (COST)	DOL cost estimates collected from sponsors, and updated annually based on OMB guidelines, unpublished report (1977).	Unit cost factor.
Population age 55 or over. (POP55)	Census Bureau, "Population Estimates and Projections" Series P-25.	Workload factor.
Per capita income. (PCI)	Bureau of Economic Analysis, Table: "Per Capita Personal Income by States and Regions," for most recent year available.	Fiscal capacity factor.

Matching Requirements: Federal funding is 90 percent, except for 100 percent for an emergency or disaster project, or a project located in an economically depressed area.

Maintenance of Effort Requirement: Yes.

Comments: Fiscal year 1983 appropriation legislation specified that in FY 1984, 78 percent of available funds must go to national nonprofit organizations. The 78 percent provision for FY 1984 superceded authorizing legislation that limited national organizations to (a) the amount necessary to maintain 1978 levels of activiites, plus (b) not more than 45 percent of the amount appropriated in excess of fiscal year 1978. FY 1984 and 1985 appropriation legislation continued the 78/22 division of funds.

Employment and Training Assistance: Dislocated Workers (17.246)

Program Objectives: To assist dislocated workers to obtain unsubsidized employment through training and related employment services using a decentralized system of State and local programs.

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: Job Training Partnership Act, Public Law 97-300, Title III, (29 USC §§1651-1658). Allocation provisions are found at 29 USC §1651. Matching provisions are found at 29 USC §1654. Funding authorization is continuous.

Code of Federal Regulations: 20 CFR 631.

Administrative Rule: Matching provision found in 48 FR 11088 (1983).

Financial Information: Account Identification: 16-0174-0-1-504 Obligations: FY 83 $110,000,000; FY 84 (transition period to program year (PY)) $94,250,000; PY 84 $223,000,000; and PY 85 $222,500,000

Formula Narrative

Up to 25 percent of the appropriated amount can be reserved for the discretionary use of the Secretary. The remaining 75 percent is allocated to states and territories as follows: (1) one-third is allocated based on each state's proportionate share of the number of unemployed individuals; (2) one-third is based on each state's proportionate share of the "excess" number of those persons above a 4.5 percent unemployment rate; and (3) one-third is based on each state's proportionate share of individuals unemployed for 15 or more weeks. Up to 15 percent of each state's allotment may be used for state administration.

Mathematical Structure:
STATE SHARE = [1/3 * (UN/UNTOT)] + [1/3 * (EXC/EXCTOT)] + [1/3 * (LT/LTTOT)]

Definitions:
UN = 12-month average number of unemployed in a state
UNTOT = 12-month average number of unemployed in the nation
EXC = average number of unemployed above a 4.5 percent unemployment rate, for a 12-month period in a state
EXCTOT = average number of unemployed above a 4.5 percent unemployment rate, for a 12-month period in the nation
LT = 12-month average of the number of persons unemployed for 15

weeks or longer, in a state
LTTOT = 12-month average of the number of persons unemployed for 15 weeks or longer, in the nation

	Data Sources	
Data Element	**Source**	**Data Element Type**
Number of unemployed. (UN)	BLS, special compilation, unpublished, FY 1983.	Workload factor.
Number of unemployed above a 4.5 percent unemployment (EXC)	BLS, special compilation, unpublished, FY 1983.	Workload factor.
Number of persons employed for 15 or more weeks. (LT)	BLS, special compilation, unpublished, CY 1982.	Workload factor.
Unemployment rate. (EXC)	BLS, "Unemployment in State and Local Areas," 12-month average for 1983.	Workload factor.

Matching Requirements: The non-federal share is 50 percent of eligible expenses if a state's unemployment rate is at or below the national rate. This matching rate is reduced by 10 percent for each 1 percent, or portion thereof, by which the average rate of unemployment in a state is greater than the national unemployment rate.

Maintenance of Effort Requirement: No.

Comments: The 25 percent reserved for the Secretary's use can be used for mass layoffs, natural disasters, federal government actions or for those who live in high unemployment areas or designated enterprise zones.

Migrant and Seasonal Farmworkers (17.247)

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: The Job Training Partnership Act, Public law 97-300, as amended (29 USC §§1501 et seq.). Grant provisions are at 29 USC §1672. This program has continuous funding authorization.

Code of Federal Regulations: Allocation provisions are detailed in 20 CFR 633.105.

Financial Information: Account Identification: 16-0174-0-1-504
Obligations: FY 84 (transition period to program year (PY)) $45,268,000; PY 84 $65,474,000; and PY 85 est $65,474,000

Formula Narrative

Up to 6 percent of funds may be set aside for discretionary purposes. Allocations of remaining funds are made to states. Each state receives an amount proportionate to its share of the farmworker population in poverty. A state must be entitled to an allocation of at least $60,000 based on the number of poverty level farmworkers. If a state meets this eligibility cutoff, then it will receive a minimum grant of $120,000. A state that does not meet the $60,000 allocation threshold, based on population, is not eligible for any funding.

Allocations may not exceed 125 percent of prior year's allotment. Because of a change in the source of data used to calculate the allocation amounts, states that would have received less in FY 1984 were allocated the amount received in the prior year. A special appropriation was made to provide these additional funds in FY 1984.

Mathematical Structure:
STATE SHARE = FPOV/FPOVTOT

Definitions:
FPOV = number of farmworkers at or below the poverty level in a state.
FPOVTOT = total number of farmworkers at or below the poverty level.

Data Sources

Data Element	Source	Data Element Type
Poverty level farmworkers. (FPOV)	Census Bureau, special tabulation from 1980 census of workers in 10 Standard Occupational Codes for agricultural workers.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Job Training Partnership Act, Title II-A: Basic Program (17.250A)

Program Objectives: To provide job training and related assistance to economically disadvantaged individuals, and others who face significant employment barriers. The ultimate goal of the Act is to move trainees into permanent, self-sustaining employment.

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: Job Training Partnership Act, Public Law 97-300, Titles I and II-A, Sections 101-184, 201-205, as amended (29 USC §§1501-1592, 1601-1605). Allocation provisions are found at 29 USC §1601. This program has continuous funding authorization.

Financial Information: Account Identification: 16-0174-0-1-504
Obligations: FY 83 $2,180,672,000; FY 84 (transition period to program year (PY)) $1,414,613,000; PY 84 $1,886,151,000; PY 85 est $1,886,151,000

Formula Narrative

Allocations are made to states and territories. Suballocations are made by states to "service delivery areas" within each state. Not more than $5 million of the appropriation is set aside for territories. The remaining funds are allocated to states under the following formula: (1) one-third in proportion to the number of unemployed in "areas of substantial unemployment" (ASU). An ASU is the largest area of a state with an unemployment rate equal to or in excess of 6.5 percent; (2) one-third in proportion to the number of "excess" unemployed. The "excess" unemployed are the number of people unemployed in excess of 4.5 percent, in a state or in areas of substantial unemployment within a state; and (3) one-third in proportion to the number of low income persons.

Each state's share of the allocation must be: (1) at least one-quarter of one percent of the funds available, and (2) at least 90 percent of its previous year's allotment percentage.

The Governor must allot 78 percent of the state's grant to service delivery areas under the same three-part formula, without constraints, using substate data.

The remaining 22 percent must be distributed within each state as follows: (1) 8 percent for education coordination grants, (2) 6 percent for incentive grants to service delivery areas, (3) 3 percent for training programs for older workers, (4) 5 percent for other training programs, administrative and auditing costs, and funding the state's Job Training Coordination Council.

"Service delivery areas" are associations of local government authorities who are responsible for the program at the local level. An area is designated for at least a two year period.

Mathematical Structure:
STATE SHARE = 1/3 * (ASU/ASUTOT) + 1/3 * (EXC/EXCTOT) + 1/3 * (POOR/POORTOT)

Definitions:
ASU = number of unemployed in "areas of substantial unemployment" (areas at or over 6.5 percent unemployment) in the state
ASUTOT = number of unemployed in "areas of substantial unemployment" in the nation
EXC = number of unemployed over 4.5 percent in a state or in "areas of substantial unemployment" in a state
EXCTOT = national number of unemployed over 4.5 percent in states or in "areas of substantial unemployment"
POOR = number of low income people in a state, in 1979
POORTOT = number of low income people in the nation, in 1979

Data Sources

Data Element	Source	Data Element Type
Number of unemployed. (ASU, EXC)	BLS, "Employment and Unemployment in Areas Potentially Eligible Under JTPA as Areas of Substantial Unemployment, July 1983 - June 1984," BLS Fiche, BLS/LAUS/AR-84-03.	Workload factor.
Number of low income persons. (POOR)	Census Bureau, special tabulation based on 1980 Census of 1979 income.	Workload factor.

Matching Requirements: The 8 percent for education coordination grants must be matched on a dollar-for-dollar basis.

Maintenance of Effort Requirement: Yes.

Comments: Funding shifted in 1984 from a fiscal year (FY) basis to a July 1 - June 30 program year (PY).

States may change the boundaries of their designated ASUs annually in order to maximize the number of unemployed in areas of substantial unemployment within the state.

The statute stipulates the use of "economically disadvantaged" people as a data element, which is defined as the number of people with income (net of transfer payments, such as welfare) below the higher of: (1) the OMB poverty guidelines, or (2) 70 percent of the BLS lower living standard. However, this cannot be compiled based on existing data sources. Therefore the formula uses "low income persons," as developed by the Census Bureau, as a substitute data element.

Job Training Partnership Act, Title II-B: Summer Youth (17.250B)

Program Objectives: To provide a summer youth employment and training program for economically disadvantaged youths.

Federal Agency: Department of Labor, Employment and Training Administration

Governing Authority: Public Laws or Acts: Job Training Partnership Act, Public Law 97-300, Titles I and II-B, as amended (29 USC §§1501-1592, 1631-1634). Allocation provisions are found at 29 USC §1631. See also 29 USC §§1601, 1602. This program has continuous funding authorization.

Financial Information: Account Identification: 16-0174-0-1-504
Obligations: FY83 (transition period to program year (PY)) \$824,549,000; PY84 \$824,549,000; and PY85 \$724,549,000

Formula Narrative

Allocations are made to states and territories and are in turn allocated among "service delivery areas" within a state. Territories receive the same percentage share of funds as they received prior to the creation of JTPA. The remaining funds are allocated under the same formula used to allocate JTPA Title II-A funds (17.250A) with the exception that all, rather than 78 percent, of the funds must be allocated by the state to service delivery areas.

Mathematical Structure:
STATE SHARE = 1/3 * (ASU/ASUTOT) + 1/3 * (EXC/EXCTOT) + 1/3 * (POOR/POORTOT)

Definitions:
ASU = number of unemployed in "areas of substantial unemployment" (areas at or over 6.5 percent unemployment) in the state
ASUTOT = number of unemployed in the nation in "areas of substantial unemployment"
EXC = number of unemployed over 4.5 percent in a state or in "areas of substantial unemployment" in a state
EXCTOT = national number of unemployed over 4.5 percent in states or in "areas of substantial unemployment"
POOR = number of low income people in a state, in 1979
POORTOT = number of low income people in the nation, in 1979

Data Sources		
Data Element	Source	Data Element Type
Number of unemployed. (ASU, ESC)	BLS, "Employment and Unemployment in Areas Potentially Eligible Under JTPA as Areas of Substantial Unemployment, July 1983 - June 1984," BLS Fiche, BLS/LAUS/AR-84-03.	Workload factor.
Number of low income persons. (POOR)	Census Bureau, special tabulation based on 1980 Census of 1979 income.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: The statute stipulates the use of "economically disadvantaged" people as a data element, which is defined as the number of people with income (net of transfer payments, such as welfare) below the higher of: (1) the OMB poverty guidelines, or (2) 70 percent of the BLS lower living standard. However, this cannot be compiled based on existing data sources. Therefore the formula uses "low income persons," as developed by the Census Bureau, as a substitute data element.

Disabled Veterans Outreach Program (17.801)

Program Objectives: To provide (1) funds to states to provide jobs and job training opportunities for disabled and other veterans through contacts with employers; promote and develop on-the-job training, apprenticeships and other on-the-job training positions within VA programs; (2) outreach to veterans through all community agencies and organizations; (3) assistance to community-based groups and organizations and appropriate grantees under other federal and federally funded employment and training programs; (4) outreach assistance to local employment service offices; develop linkages with other agencies to promote maximum employment opportunities for veterans; (5) entry-level and career job opportunities for veterans; and (6) job placement, counseling, testing, and job referral to eligible veterans, especially disabled veterans of the Vietnam-era.

Federal Agency: Department of Labor, Office of the Assistant Secretary for Veterans' Employment and Training

Governing Authority: Public Laws or Acts: Veterans Rehabilitation and Education Amendments of 1980, Public Law 96-466, as amended (38 USC §2003A). Allocation provision is found at 38 USC §2003A. Funding authorization is continuous.

Code of Federal Regulations: 20 CFR 652.140-142.

Administrative Rule: 49 FR 12921 (1984).

Financial Information: Account Identification: 20-0842-0-7-999
Obligations: FY 83 $53,866,000; FY 84 $58,757,000; and FY 85 $59,200,000

Formula Narrative

Allocations are made to states and Puerto Rico. Each jurisdiction is allowed to hire one Disabled Veteran Outreach Program Specialist for every 5,300 disabled and Vietnam-era veterans in the state. The jurisdiction's allocation is determined by multiplying the number of these positions in the jurisdiction by the salary level approved for that position. Each jurisdiction sets salary levels with the approval of the national program office.

If sufficient dollars are not available, the number of program specialist positions are prorated down to the amount of available dollars.

Mathematical Structure:
STATE SHARE = [(DVETS + VVETS)/5300 * SALARY]/SUM OF NUMERATOR

Definitions:
DVETS = total number of disabled veterans in a state
VVETS = total number of Vietnam veterans in a state
SALARY = approved salary of program specialists in a state

Data Sources

Data Element	Source	Data Element Type
Disabled veterans. (DVETS)	Veterans Administration, "Veteran Population," RCS 70-051 (March 1983); DOD Defense Manpower Data Center, "Report on the Military Retirement System," RCMS No. DOM(A) 1375 (September 1982).	Workload factor.
Vietnam-era veterans. (VVETS)	Veterans Administration, "Veteran Population," RCS 70-051 (March 1983); DOD Defense Manpower Data Center, "Report on the Military Retirement System," RCMS No. DOM(A) 1375 (September 1982).	Workload factor.
Salary. (SALARY)	DOL, state-supplied cost figures, updated annually.	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Local Veterans Employment Representative Program (17.804)

Program Objectives: To provide funds to state Employment Service/Job Service agencies to ensure that there is local supervision of compliance with federal regulations, performance standards, and grant agreement provisions in providing veterans with maximum employment and training opportunities.

Federal Agency: Department of Labor, Office of the Assistant Secretary for Veterans' Employment and Training.

Governing Authority: Public Laws or Acts: Act of September 2, 1958, Public Law 85-857, as amended (38 USC §2004), and Veterans Rehabilitation and Education Amendments of 1980, Public Law 96-466, Title V, as amended (38 USC §2003). Funding authorization is continuous.

Code of Federal Regulations: 20 CFR 652.123.

Administrative Rule: 49 FR 12921 (1984).

Financial Information: Account Identification: 20-8042-0-7-999
Obligations: FY 83 $37,432,000; FY 84 $48,753,000; and FY 85 $50,100,000

Formula Narrative

Allocations are made to states, Puerto Rico and the Virgin Islands. Each jurisdiction is allowed to hire one Local Veterans Employment Representative for every 1,000 new or renewed applications received from veterans and other eligible persons during the most recent 12-month period. The jurisdiction's allotment is determined by multiplying the number of positions in the jurisdiction by the salary levels approved for that position. Each jurisdiction sets its own salary levels with the approval of the national program office.

If sufficient dollars are not available, the number of specialist positions are prorated down to the amount of available dollars.

Mathematical Structure:
STATE SHARE = [(APP/1000) * SALARY]/SUM OF NUMERATOR

Definitions:
APP = new or renewed employment applications for employment services from veterans and eligible persons (such as wives and children of veterans killed in action), in a state

SALARY = salary of local veterans employment representatives in a state

Data Sources

Data Element	Source	Data Element Type
Applications for employment services. (APP)	DOL, Employment Security Automated Reporting System, unpublished, updated each fiscal year.	Workload factor.
Salary. (SALARY)	DOL, state agency cost estimates, unpublished, updated annually.	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirements: No.

Comments: None.

Department of Transportation

Source: GAO

Boating Safety Financial Assistance (20.005)

Program Objectives: To encourage greater state participation and uniformity in boating safety, particularly to permit the states to assume the greater share of boating safety education, assistance, and enforcement activities, and to assist the states in developing, carrying out and financing their recreational boating safety programs.

Federal Agency: Department of Transportation, U.S. Coast Guard

Governing Authority Public Laws or Acts: Partial Revision of Title 46, Public Law 98-89 (46 USC §§ 13101-13110). Allocation and matching provisions found at 46 USC §13103. Funding is authorized through September 30, 1988.

Administrative Rule: COMDTINST Instruction M 16755.1 - National Recreational Boating Safety Financial Assistance (State Guide) Jan. 28, 1985.

Financial Information: Account Identification: 69-8149-0-7-403
Obligations: FY 83 $12,250,000; FY 84 $12,500,000; and FY 85 $13,750,000

Formula Narrative

Funds are allocated among eligible states and territories. To be eligible for assistance, states must have, among other things, an adequate state boating safety education program, an approved vessel numbering system and an approved system for reporting marine casualities.

Up to 5 percent of the total appropriation may be set aside for national boating safety activities of national nonprofit public service organizations. One-third of the remaining funds are divided equally among applying eligible states. One-third is allocated in proportion to the number of vessels numbered under the approved state numbering system. The remaining third is allocated in proportion to state funds expended on boating safety in the previous fiscal year. Territories are treated as states for the purpose of eligibility and allocation.

Mathematical Structure:
STATE SHARE = (1/3 * 1/N) + (1/3 * BOAT/BOATTOT) + (1/3 * SFUNDS/SFUNDSTOT)

Definitions:
N = number of applying eligible states
BOAT = number of vessels in state, numbered under an approved State

numbering system
BOATTOT = number of vessels in the nation, numbered under an approved State numbering system
SFUNDS = state funds expended on boating safety, in a state
SFUNDSTOT = total of all state funds expended on boating safety, in all states

Data Sources

Data Element	Source	Data Element Type
Vessels in state, numbered under approved state numbering system. (BOAT)	U.S. Coast Guard, "Boating Statistics," Commandant Instruction M 16754.1F.	Workload factor.
State funds expended on boating safety. (SFUNDS)	U.S. Coast Guard financial status reports submitted by states on OMB Form SF 269 (January 1983).	Incentive factor.
Number of eligible states. (N)	Department of Transportation.	Unit cost factor.

Matching Requirements: Federal share may not exceed 50 percent of total cost of a state's program. The Northern Marianas and American Samoa are not required to provide a match.

Maintenance of Effort Requirement: No.

Comments: None.

Airport Improvement Program: Primary Airport Apportionments (20.106A)

Program Objectives: To assist sponsors, owners or operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics.

Federal Agency: Department of Transportation, Federal Aviation Administration

Governing Authority: Public Laws or Acts: Airport and Airway Improvement Act of 1982, Public Law 97-248, Section 507, as amended. Apportionment provisions are at 49 USC §2206. Matching provisions are at 49 USC §2209. Funding is authorized through September 30, 1987.

Financial Information: Account Identification: 69-8106-0-7-402

	FY 83	FY 84	FY 85
Obligations:			
Entitlements	$365,000,000	$349,000,000	$431,000,000
Discretionary	101,000,000	143,000,000	169,000,000

Formula Narrative

Airport improvement funds are divided into three "pots" for apportionment: (1) up to 50 percent for "primary airports"—those commercial service airports that emplane at least .01 percent of total enplaned passengers at commercial service airports; (2) 12 percent is allotted to states and territories (allocation is described in 20.106B); and (3) the remainder is allotted via agency discretion.

Entitlement apportionments to primary airports are based on the number of airline passengers served in the preceding calendar year. Specifically, entitlements are computed by applying a cost per passenger of $6 to the first 50,000 passengers enplaned; $4 for the next 50,000; $2 for the next 400,000; and $0.50 for each additional passenger.

Entitlement apportionments to primary airports are increased above that amount allocated by formula. For FY 1984, apportionments to primary airports are increased by 10 percent above the amount allocated by the formula. For FY 1985, the increase is 20 percent; for FY 1986, 25 percent; and for FY 1987, 30 percent. However, in no case may total apportionments exceed 50 percent of the total funds authorized for the airport improvement program in any fiscal year. In addition, no recipient receives less than $200,000 or more than $12,500,000 for any fiscal year. However, if apportionments exceed 50 percent of the amount authorized, apportionments to each airport will be ratably reduced. A separate provision in the law makes supplemental funds available for Alaskan airports.

Mathematical Structure:
AIRPORT ENTITLEMENT = 1.10 * [(COST1 * ENP1) + (COST2 * ENP2) + (COST3 * ENP3) + (COST4 * ENP4)]

Definitions:
ENP1 = number of passengers enplaned (0 - 50,000)
ENP2 = number of passengers enplaned (50,001 - 100,000)
ENP3 = number of passengers enplaned (100,001 - 500,000)
ENP4 = number of passengers enplaned in excess of 500,000
COST1 = Federal reimbursement rate for FY 1984 was $6.00
COST2 = Federal reimbursement rate for FY 1984 was $4.00
COST3 = Federal reimbursement rate for FY 1984 was $2.00
COST4 = Federal reimbursement rate for FY 1984 was $0.50

Data Sources

Data Element	Source	Data Element Type
Federal reimbursement rate. (COST1-4)	Statute; 40 USC 2206(a).	Unit cost factor.
Number of passengers enplaned. (ENP1-4)	FAA, unpublished data collected for prior calendar year.	Workload factor.

Matching Requirements: The federal matching percentage varies between airports which enplane more than .25 percent of the U.S. total and those which enplane fewer than .25 percent. The federal share also varies for different activities as shown in the following schedule:

Qualifying Activities	Matching rate for airports with more than .25 percent of total passengers	Matching rate for airports with less than .25 percent of total passengers
Airport development	75 percent	90 percent
Terminal development	50 percent	50 percent
Implementation of noise compatibility programs	80 percent	80 percent
Master planning	75 percent	90 percent

Matching Requirements: The above matching schedule is increased by the smaller of 25 percent, or 50 percent of the ratio of a state's public land to total land and water area, in "public land" states. Public land states are those in which federally-owned land equals or exceeds 5 percent of total land and water area.

Maintenance of Effort Requirement: None.

Comments: None.

Airport Improvement Program: State Apportionments (20.106B)

Program Objectives: To assist sponsors, owners or operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics.

Federal Agency: Department of Transportation, Federal Aviation Administration

Governing Authority: Public Laws or Acts: Airport and Airway Improvement Act of 1982, Public Law 97-248, Section 507, as amended. Apportionment provisions are at 49 USC §2206. Matching provisions are at 49 USC §2209. Funding is authorized through September 30, 1987.

Financial Information: Account Identification: 69-8106-0-7-402

	FY 83	FY 84	FY 85
Obligations:			
Entitlements	$185,000,000	$120,000,000	$133,000,000
Discretionary	155,000,000	200,000,000	197,000,000

Formula Narrative

Airport improvement funds are divided into three "pots" for apportionment: (1) up to 50 percent for "primary airports" (allocation is described in 20.106A); (2) 12 percent is allotted to states and territories; and (3) the remainder is allotted via agency discretion.

Of the amount distributed to state areas and territories (and subsequently apportioned to airport sponsors), 1 percent of the total is set aside for territories and the remainder is apportioned among states as follows: 50 percent based on each state's proportionate share of population and 50 percent on each state's proportionate share of total area (including both land and water).

Grants are not made directly to states unless they are also the sponsor of the airport. A state's apportionment is distributed to airports within the state based on applications submitted by airports to DOT.

Mathematical Structure:
STATE SHARE = .50*(POP/POPTOT) + .50*(AREA/AREATOT)

Definitions:
POP = state population

POPTOT = national population
AREA = state area (including water surfaces)
AREATOT = national area (including water surfaces)

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Land area. (AREA)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Unit cost factor.

Matching Requirements: The federal match for activities funded by state apportionments is 90 percent, except for "public land" states. "Public land" states are those states where federal lands exceed 5 percent of total area. In these states, the federal share is increased by the smaller of 25 percent, or 50 percent of the ratio of the area of the state's public lands to its total area.

Maintenance of Effort Requirement: No.

Comments: None.

Highway Planning and Construction: Interstate System Construction (20.205A)

Program Objectives: To assist state highway agencies in the development of an integrated, interconnected network of highways by constructing the Interstate Highway System.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are found at 23 USC §§104(b)(5)(A), 118 and 119. Matching provisions are at 23 USC §120(c). Funding is authorized through September 30, 1990.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations: (this program is forward funded; e.g., apportionments of FY 84 authorizations were certified for FY 83); FY 84 $4,000,000,000; FY 85 $4,000,000,000; and FY 86 $4,000,000,000

Formula Narrative

Funds are apportioned among states for the completion of the Interstate Highway System. Before apportionment, three set-asides are deducted. (1) A set-aside of up to 3.75 percent is deducted for administrative costs and federally sponsored research. (2) Up to 0.5 percent of remaining authorized funds is deducted to finance urban transportation planning activities.(3) A set-aside of $300 million is withheld for discretionary awards. After apportionment, 1.5 percent of a state's apportionment is set aside for state highway planning and research.

The formula apportions funds based on each state's share of the estimated cost to complete the system. The Federal Highway Administration updates these factors every two years and transmits them to the Congress for legislative approval. The factors are based on state engineers' estimates, project-by-project, using unit costs for materials and workforce that will be needed to complete plan specifications. No state receives less than 0.5 percent of funds being apportioned, even if its Interstate miles have already been completed.

Mathematical Structure:
STATE SHARE = COST/COSTTOT

Definitions:
COST = estimated cost to complete interstate highway system in a state

COSTTOT = estimated cost to complete interstate highway system in the nation

Data Sources

Data Element	Source	Data Element Type
Cost to complete the interstate highway system. (COST)	DOT, based on estimates submitted by states. Estimates must be approved by Congress before apportionment occurs.	Total project cost.

Matching Requirements: Federal share is 90 percent, however the federal share is increased up to 95 percent in any state containing unappropriated and unreserved public lands and non-taxable Indian lands that exceed 5 percent of a state's total area.

Maintenance of Effort Requirement: None.

Comments: The urban transportation planning set-aside in this program is combined with set-asides in four other programs [Interstate 4R (20.205B), Primary System (20.205C), Rural Secondary System (20.205D), and Urban System (20.205E)] and distributed via a separate formula (see Urban Transportation Planning 20.205F).

The $300 million discretionary fund is restricted first to high cost projects which directly contribute to the completion of an interstate segment which is not yet open to traffic, and second to projects of high cost in relation to a state's apportionment.

This program and eight others (described in 20.205B, 20.205C, 20.205D, 20.205E, 20.205G, 20.205I, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to under this provision in FY 1984.

Highway Planning and Construction: Interstate 4R Program (20.205B)

Program Objectives: To assist state highway agencies in the development of an integrated, interconnected network of highways by resurfacing, restoring, rehabilitating and reconstructing the Interstate Highway System.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are found at 23 USC §104(b)(5)(B). Set-aside provisions are found at 23 USC §§104(a), 104(f)(1), and 307(c). Matching requirements are found at 23 USC §120(c). Funding is authorized through September 30, 1987.

Financial Information: Account Identification: 20-8102-0-7-401
Authorizations: (this program is forward funded; e.g., apportionments of FY 84 authorizations were certified for FY 83); FY 84 $1,950,000,000; FY 85 $2,400,000,000; and FY 86 2,800,000,000

Formula Narrative

Before the formula is used to distribute funds to states and Puerto Rico, two set-asides are deducted. A set-aside of up to 3.75 percent is deducted for administrative costs and federally sponsored research. Up to 0.5 percent of remaining authorized funds is deducted to finance urban transportation planning activities.

The remainder is apportioned among states as follows: 55 percent based on each state's proportionate share of interstate lane miles completed and open for traffic and 45 percent based on each state's proportionate share of vehicle miles traveled on interstate routes in a calendar year. No state receives less than 0.5 percent of the amount apportioned. After funds are distributed among the states, 1.5 percent of each state's apportionment is set aside for highway planning and research.

Mathematical Structure:
STATE SHARE = .55*(LANE/LANETOT) + .45*(VEHIC/VEHICTOT)

Definitions:
LANE = lane-miles: number of lanes built on interstate routes (excluding certain toll roads) in a state, multiplied by the length of the section in miles
LANETOT = lane-miles: number of lanes built on interstate routes in all

states (again, excluding certain toll roads), multiplied by the length of the section in miles
VEHIC = miles travelled by vehicles on interstate routes in a state
VEHICTOT = miles travelled by vehicles on interstate routes in the nation

Data Sources

Data Element	Source	Data Element Type
Lane miles of interstate routes completed and in operation. (LANE)	DOT, "Highway Performance Monitoring System," (1980) Data collected from states on an annual basis (unpublished).	Workload factor.
Miles travelled by vehicles on interstate system. (VEHIC)	DOT, "Highway Performance Monitoring System," (1980) Data collected from states on an annual basis (unpublished).	Workload factor.

Matching Requirements: The federal share is 90 percent; however, the federal share is increased up to 95 percent in any state containing unappropriated and unreserved public lands and nontaxable Indian lands that exceed 5 percent of a state's total land and water area.

Maintenance of Effort Requirement: None.

Comments: The urban transportation planning set-aside in this program is combined with set-asides in four other programs [Interstate System Construction (20.205A), Primary System (20.205C), Rural Secondary System (20.205D), and Urban System (20.205E)] and is distributed via a separate formula (see Urban Transporation Planning 20.205F).

This program and eight others (described in 20.205A, 20.205C, 20.205D, 20.205E, 20.205G, 20.205I, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Primary System (20.205C)

Federal Agency: Department of Transportation, Federal Highway Adminstration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are found at 23 USC §104(b)(1). Set-aside provisions are found at 23 USC §§104(a), 104(f)(1) and 307(c). Matching provisions are found at 23 USC §120. Funding authorization expired September 30, 1986.

Program Objectives: To assist state highway agencies to build or improve primary system roads and streets. Also provides for the improvement of some highways in Guam, the Virgin Islands, American Samoa and the Northern Mariana Islands.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations: FY 83 $1,883,413,429; FY 84 $2,144,314,088; and FY 85 $2,351,093,397

Formula Narrative

Before funds are apportioned to states and territories, two set-asides are deducted. A set-aside of up to 3.75 percent is deducted for administrative costs and federally sponsored research. Up to 0.5 percent of remaining authorized funds net of administrative costs is deducted to finance urban transportation planning activities. After funds are apportioned an additional 1.5 percent of each state's allotment is set-aside for state highway planning and research.

States are initially apportioned an amount of funds that is the higher of the amounts derived from two formulas. The first formula allots 2/9 of funds in proportion to land area, 2/9 in proportion to rural population, 2/9 in proportion to rural and intercity mail route miles and 3/9 in proportion to urban population. States (except the District of Columbia) are guaranteed an 0.5 percent minimum amount under the first formula. The second formula allots funds 1/2 in proportion to rural population and 1/2 in proportion to urban population.

Each state's initial allotment is then proportionately reduced so that formula apportionments sum to the amount authorized. A state's adjusted formula apportionment cannot be less than: (1) the lower amount produced by either formula, and (2) 0.5 percent of the total amount being apportioned. Also, the territories, as a group, are subject to the 0.5 percent minimum. Additional funds are authorized in order to ensure these minimums are met. Forty percent of a state's formula apportionment must be spent on 4R-type projects (resurfacing, restoration, rehabilitation, and reconstruction) on existing Primary System highways.

Mathematical Structure:
Formula A
STATE SHARE = 2/9*(AREA/AREATOT) + 2/9*(RURPOP/RURPOPTOT) + 2/9*(MAIL/MAILTOT) + 3/9*(URBPOP/URBPOPTOT)

Formula B
STATE SHARE = .50*(RURPOP/RURPOPTOT) + .50*(URBPOP/URBPOPTOT)

Definitions:
AREA = state area
AREATOT = national area
URBPOP = urban population in a state (areas of 5,000 population or more)
URBPOPTOT = national urban population (areas of 5,000 population or more)
RURPOP = population in a state outside urban areas
RURPOPTOT = national population outside urban areas.
MAIL = mileage of rural delivery and intercity mail routes where service is performed by motor vehicles, for a state
MAILTOT = mileage of rural delivery and intercity mail routes where service is performed by motor vehicles, for the nation

Data Sources

Data Element	Source	Data Element Type
Land area (including inland water). (AREA)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Population. (URBPOP, RURPOP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Rural delivery and intercity mail delivery route mileage. (MAIL)	U.S. Postal Service, annual certification of mileage as of December 31, 1982 (unpublished).	N/A.

Matching Requirements: Federal share is 75 percent for Primary System projects and 90 percent for 4R-type projects on the Interstate System. However, the federal share is increased up to 95 percent in any state containing any public domain lands and nontaxable Indian lands, based on percent of total area.

Maintenance of Effort Requirement: No.

Comments: The urban transporation planning set-aside in this program is combined with set-asides in four other programs [Interstate System Construction (20.205A), Interstate 4R (20.205B), Rural Secondary System (20.205D), and Urban System (20.205E)] and is distributed via a separate formula (see Urban Transportation Planning 20.205F).

This program and eight others (described in 20.205A, 20.205B, 20.205D, 20.205E, 20.205G, 20.205I, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Rural Secondary System (20.205D)

Program Objectives: To assist state highway agencies in the development of an integrated, interconnected network of highways by building or improving secondary system routes.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are found at 23 USC §104(b)(2). Set-aside provisions are found at 23 USC §§104(a), 104(f) and 307(c). Matching requirements are found at 23 USC §120. Funding authorization expired September 30, 1986.

Financial Information: Account Information: 20-8102-0-7-401
Authorizations: FY 83 $650,000,000; FY 84 $650,000,000; and FY 85 $650,000,000

Formula Narrative

Before funds are apportioned among states, two set-asides are deducted. A set-aside of up to 3.75 percent is deducted for administrative costs and federally sponsored research. Up to 0.5 percent of remaining authorized funds is deducted to finance urban transportation planning activities. After apportionments are made, 1.5 percent of a state's apportionment is set aside for highway planning and research.

Apportionments are based on three factors: One-third of the funds are distributed in proportion to each state's area, one-third in proportion to rural population, and one-third in proportion to rural and intercity mail delivery route miles. No state receives less than 0.5 percent of the funds being apportioned. The District of Columbia does not receive funding under this program. Forty percent of state apportionments must be spent on 4R-type projects (resurfacing, restoration, rehabilitation and reconstruction) on existing secondary highways.

Mathematical Structure:
STATE SHARE = 1/3*(AREA/AREATOT) + 1/3*(RURPOP/RURPOPTOT) + 1/3*(MAIL/MAILTOT)

Definitions:
AREA = state area
AREATOT = national area
RURPOP = population in a state outside urban areas

RURPOPTOT = national population outside urban areas
MAIL = mileage of rural delivery and intercity mail routes where service is performed by motor vehicles, for a state
MAILTOT = mileage of rural delivery and intercity mail routes where service is performed by motor vehicles, for the nation

Data Sources

Data Element	Source	Data Element Type
Area (including inland waters). (AREA)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Population. (RURPOP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Rural delivery and intercity mail delivery route mileage. (MAIL)	U.S. Postal Service, annual certification of mileage as of December 31, 1982 (unpublished).	N/A.

Matching Requirements: Federal share is 75 percent of the cost of a project; however, the federal share is increased up to 95 percent in any state containing any public domain lands and nontaxable Indian lands, based on percent of total area.

Maintenance of Effort Requirement: No.

Comments: The urban transporation planning set-aside in this program is combined with set-asides in four other programs [Interstate System Construction (20.205A), Interstate 4R (20.205B), Primary System (20.205C), and Urban System (20.205E)] and is distributed via a separate formula (see Urban Transportation Planning 20.205F).

This program and eight others (described in 20.205A, 20.205B, 20.205C, 20.205E, 20.205G, 20.205I, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Urban System (20.205E)

Program Objectives: To assist state highway agencies and local officials in the cooperative development of an integrated, interconnected network of highways by building or improving roads and streets on the designated federal-aid urban system. Urban system funds may also be used for purchases of transit buses and rail transit cars and construction, reconstruction and improvement of fixed rail transit facilities.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are found at 23 USC §104 (b)(6) and 23 USC §150. Set-aside provisions are found at 23 USC §§104(a), 104(f) and 307(c). Matching requirements are at 23 USC §120. Funding authorization expired September 30, 1986.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations: FY 83 $800,000,000; FY 84 $800,000,000; and FY 85 $800,000,000

Formula Narrative

Funds are apportioned among states after two set-asides are deducted. A set-aside of up to 3.75 percent is deducted for administrative costs and federally sponsored research. Up to 0.5 percent of remaining funds is deducted to finance urban transportation planning activities.

The remaining funds are apportioned among state areas in proportion to their urban population (areas of 5,000 or more). No state receives less than 0.5 percent of the funds being distributed through the formula. After funds are distributed among the states, 1.5 percent of each state's apportionment is set aside for state highway planning and research.

Within states, funds are divided into two "pots". One "pot" is for state and local projects in "urbanized areas" (with 200,000 and more population). The other is available, at state discretion, for state and local projects in these "urbanized" areas or in "urban" areas (with 5,000 or more population).

The "urbanized areas" pot is calculated as a share of a state's "urbanized" population in proportion to its total urban population. Remaining funds comprise the "urban" pot. The share of funds for individual urbanized areas is calculated as a proportion of an urbanized area to all urbanized areas in a state. The share of funds for "urban" areas is allocated via state agency discretion.

Mathematical Structure:
Interstate Formula
STATE AREA SHARE = URBPOP/URBPOPTOT

Intrastate Formula
URBANIZED SHARE = UZA/UZAPOP
URBAN SHARE = (URBPOP - UZAPOP)/URBPOP

Definitions:
URBPOP = state population in areas of 5,000 or more population
URBPOPTOT = national population in areas of 5,000 or more population
UZA = local population in an urbanized area of 200,000 or more
UZAPOP = state population in urbanized areas of 200,000 or more

Data Sources

Data Element	Source	Data Element Type
Population. (all definitions)	Census Bureau "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.

Matching Requirements: Federal share is 75 percent of the eligible costs of a project; however, the federal share is increased up to 95 percent in states containing any public domain lands or nontaxable Indian lands, based on percent of total area.

Maintenance of Effort Requirement: No.

Comments: The urban transportation planning set-aside in this program is combined with set-asides in four other programs [Interstate System Construction (20.205A), Interstate 4R (20.205B), Primary System (20.205C), and Rural Secondary System (20.205D)] and is distributed via a separate formula (see Urban Transportation Planning 20.205F).

This program and eight others (described in 20.205A, 20.205B, 20.205C, 20.205D, 20.205G, 20.205I, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust

Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Urban Transportation Planning (20.205F)

Program Objectives: To assist state and local officials in the development of an integrated, interconnected network of highways by developing transportation plans and programs for urban areas of 50,000 population or more.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are found at 23 USC §104(f). Funding authorization expired September 30, 1986.

Code of Federal Regulations: Matching requirements are in 23 CFR 450.304.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations (set aside from 5 other programs, as described below) FY 83 $45,325,000; FY 84 $49,252,500; and FY 85 $52,222,500

Formula Narrative

Financing for this program is based on a set-aside of up to 0.5 percent of the amounts authorized for five other highway aid programs (Interstate System Construction (20.205A), Interstate 4R (20.205B), Primary System (20.205C), Rural Secondary System (20.205D), and Urban System (20.205E)).

Funds are apportioned to state governments which, in turn, make the funds available to Metropolitan Planning Organizations (MPOs) in urbanized areas, using a state-created formula that must consider such factors as population, status of planning, and metropolitan area transportation needs. Apportionments are based on each state's proportionate share of total urbanized area population (areas of 50,000 population or more). No state receives less than 0.5 percent of the funds being apportioned. States subject to the 0.5 percent minimum apportionment may, with FHWA approval, use the funds for transportation planning outside of urbanized areas.

Mathematical Structure:
STATE SHARE = URBPOP/URBPOPTOT

Definitions:
URBPOP = urbanized population (areas with population of 50,000 or more) in a state1
URBPOPTOT = urbanized population in the nation

Data Sources		
Data Element	**Source**	**Data Element Type**
Population. (all definitions)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.

Matching Requirements: Federal share is 85 percent; however, the federal share is increased up to 95 percent in any state containing any public domain land and non-taxable Indian lands, based on the percent of total land area involved.

Maintenance of Effort Requirement: No.

Comments: None.

Highway Planning and Construction: Bridge Replacement and Rehabilitation (20.205G)

Program Objectives: To assist state highway agencies in the development of an integrated, interconnected network of highways by replacing and rehabilitating deficient or obsolete bridges.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment provisions are in 23 USC §144(e). Set-aside provisions are found at 23 USC §§104(a) and 144(g). Matching provision is found at 23 USC §144(f). Funding authorization expired September 30, 1986.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations: FY 83 $1,600,000,000; FY 84 $1,650,000,000; and FY 85 $1,750,000,000

Formula Narrative

Funds are apportioned among states. To be eligible, bridges must meet the Federal Highway Administration's criteria for either replacement or rehabilitation. A set-aside of up to 3.75 of authorized funds is deducted for administrative costs and federally sponsored research. $200 million must be set aside in each of fiscal years 1982 through 1986 for restricted discretionary awards.

Remaining funds are apportioned among states in proportion to each state's share of the estimated total cost of replacing and rehabilitating eligible bridges (both on and off the Federal aid system). Projected total bridge costs are calculated on a state-by-state basis by multiplying the cost per square foot by the number of square feet of eligible bridges in each of four categories: (1) Federal-aid system bridges eligible for replacement, (2) Federal-aid system bridges eligible for rehabilitation, (3) off-system bridges eligible for replacement, and (4) off-system bridges eligible for rehabilitation.

No state receives less than 0.25 percent or more than 10 percent of funds apportioned by the formula. After funds are distributed among states, 1.5 percent of each state's apportionment is set aside for its use in highway planning and research. Of the remaining, 65 percent must be used for bridges on the federal aid system and not less than 15 percent (nor more than 35 percent) for off-system bridges. The remaining 20 percent may be used for bridges either on or off the federally-aided system.

Mathematical Structure:
STATE SHARE = (COST1*SQFT1 + COST2*SQFT2 + COST3*SQFT3 + COST4*SQFT4)/SUM OF NUMERATOR

Definitions:
COST1 = a state's cost, per square foot, to replace a federal-aid system bridge
SQFT1 = square footage of federal-aid system bridges eligible for replacement in a state
COST2 = a state's cost, per square foot, to replace an off-system bridge
SQFT2 = square footage of off-system bridges eligible for replacment in a state
COST3 = a state's cost, per square foot, to rehabilitate a federal-aid system bridge
SQFT3 = square footage of federal-aid system bridges eligible for rehabilitation in a state
COST4 = a state's cost, per square foot, to rehabilitate an off-system bridge
SQFT4 = square footage of off-sytem bridges eligible for rehabilitation in a state

Data Sources

Data Element	Source	Data Element Type
Square footage of deficient bridges. (SQFT1-4) annually.	FHWA, agency-maintained inventory (unpublished); required to be updated	Workload factor.
Cost per square foot to replace or rehabilitate deficient bridges. (COST1-4)	FHWA, agency-maintained recorded cost per square foot of bridge constructed or rehabilitated on all systems (unpublished); required to be updated annually.	Unit cost factor.

Matching Requirements: Federal share is 80 percent.

Maintenance of Effort Requirement: No.

Comments: The $200 million discretionary fund is restricted to replacement and rehabilitation projects costing over $10 million. It may be used for projects costing less than $10 million if such project is at least twice the amount of a state's apportioned funds.

This program and eight others (described in 20.205A, 20.205B, 20.205C, 20.205D, 20.205E, 20.205I, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Highway Safety Programs (20.205H)

Program Objectives: To assist state highway agencies to foster safe highway design and improve highway safety to reduce accidents. Also provides for the improvement of highway safety in Guam, the Virgin Islands, American Samoa, the Northern Mariana Islands and roads under the jurisdiction of Indian tribes.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment and set-aside provisions are found at 23 USC §402 (c). The matching requirement is found at 23 USC §120 by reference in §402(d). Funding authorization expired on September 30, 1986.

Financial Information: Account Identification: 20-8102-0-7-401
Authorizations: FY 84 $10,000,000; and FY 85 $10,000,000

Formula Narrative

Funds are apportioned to states, territories, and the Secretary of the Interior on the behalf of Indian Tribes. A set-aside of up to 5 percent is deducted for administrative costs. Remaining funds are distributed as follows: 75 percent based on each state's proportionate share of population and 25 percent in proportion to a state's share of total miles of "public road." A public road must be under the jurisdiction of and maintained by a public authority and open to public travel. Each state certifies the number of miles of public roads annually and the Secretary of the Interior certifies it for indian reservations. No state receives less than 0.5 percent of the funds apportioned by formula. The Secretary of the Interior (treated by law as a "state") receives not less than 0.5 percent, 95 percent of which is to be expended by Indian Tribes.

Mathematical Structure:
STATE SHARE = .75*(POP/POPTOT) + .25*(ROAD/ROADTOT)

Definitions:
POP = state population
POPTOT = national population
ROAD = miles of public road open to public travel in a state
ROADTOT = miles of public road open to public travel in the nation

Data Sources		
Data Element	**Source**	**Data Element Type**
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Miles of public road. (ROAD)	State highway agencies, special tabulations certified annually by the Governor (data used is as of December 31, 1982).	Workload factor.

Matching Requirements: Federal share is 75 percent of the cost of a project; however, the federal share is increased up to 95 percent in any state containing any public domain lands and nontaxable Indian lands, based on percent of total area.

Maintenance of Effort Requirement: No.

Comments: The Federal Highway Administration and the National Highway Traffic Safety Administration share responsibilities for highway safety.

Highway Planning and Construction: Hazard Elimination (20.205I)

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). Apportionment and set-aside provisions are found at 23 USC §152(e). Matching requirements are found at 23 USC §152(d). Funding authorization expired September 30, 1986.

Program Objectives: To correct high hazard locations, eliminate roadside obstacles, improve signs and pavement markings, and install traffic controls and warning devices at high accident locations.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations: FY 83 $200,000,000; FY 84 $200,000,000; and FY 85 $200,000,000

Formula Narrative

Funds are apportioned to states and territories. A set-aside of up to 5 percent is deducted for administrative costs. Remaining funds are apportioned 75 percent based on each state's proportionate share of the national population and 25 percent in proportion to a state's share of total miles of "public road." A public road must be under the jurisdiction of and maintained by a public authority and open to public travel. Each state certifies the number of miles of public road in their states annually. No state or territory receives less than 0.5 percent of the funds apportioned by the formula.

Mathematical Structure:
STATE SHARE = .75*(POP/POPTOT) + .25*(ROAD/ROADTOT)

Definitions:
POP = state population
POPTOT = national population
ROAD = miles of public road open to public travel in a state
ROADTOT = miles of public road open to public travel in the nation

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Miles of public road. (ROAD)	State Highway Agencies, special tabulations certified annually by the Govonor (data used is as of December 31, 1982).	Workload factor.

Matching Requirements: Federal share is 90 percent of the cost of a project.

Maintenance of Effort Requirement: None.

Comments: This program and eight others (described in 20.205A, 20.205B, 20.205C, 20.205D, 20.205E, 20.205G, 20.205J and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Rail-Highway Crossings (20.205J)

Program Objectives: To assist state highway agencies to eliminating the hazards of rail-highway crossings.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Highway Safety Act of 1973, Public Law 93-87, Section 203, as amended (23 USC §§101 et seq.), and the Surface Transportation Assistance Act of 1982, Public Law 97-424. Apportionment and matching provisions are found at 23 USC §130. Set-aside provision is found at 23 USC §130 note. Funding authorization expired September 30, 1986.

Financial Information: Account Identification: 20-8102-0-7-401
Authorizations: FY 83 $190,000,000; FY 84 $190,000,000; and FY 85 $190,000,000

Formula Narrative

Funds are apportioned among states. Up to 3.75 percent is set aside for administrative costs and federally sponsored research. The remaining funds are apportioned one-half in proportion to each state's share of the total number of rail-highway crossings, one-quarter in proportion to each state's share of the total urban population (as defined in the Urban System formula, 20.205E), and one-twelfth each in proportion to each state's share of: area, rural population, and intercity and rural mail delivery route miles (as defined in the Rural Secondary formula, 20.205D).

Mathematical Structure:
STATE SHARE = 6/12*(CROSS/CROSSTOT) + 3/12*(URBPOP/URBPOPTOT) + 1/12*(AREA/AREATOT) + 1/12*(RURPOP/RURPOPTOT) + 1/12*(MAIL/MAILTOT)

Definitions:
CROSS = number of rail-highway crossings in a state
CROSSTOT = number of rail-highway crossings in the nation
URBPOP = urban population in a state (areas of 5,000 population or more)
URBPOPTOT = national urban population (areas of 5,000 population or more)
AREA = state area
AREATOT = national area
RURPOP = population in a state outside urban areas

RURPOPTOT = national population outside urban areas
MAIL = mileage of rural delivery and intercity mail routes where service is performed by motor vehicles, for a state
MAILTOT = mileage of rural delivery and intercity mail routes where service is performed by motor vehicles, for the nation

Data Sources		
Data Element	**Source**	**Data Element Type**
Rail-highway crossings. (CROSS)	Federal Railroad Administration, Office of Safety, special tabulation of rail-highway crossings from the National Rail-Highway Crossing Inventory (May 1983).	Workload factor.
Population. (URBPOP, RURPOP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Land area (including inland waters). (AREA)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Rural delivery and intercity mail delivery route mileage. (MAIL)	U.S. Postal Service, annual certification of mileage as of December 31, 1982 (unpublished).	N/A.

Matching Requirements: Federal share is 90 percent of the cost of a project.

Maintenance of Effort Requirement: None.

Comments: This program and eight others (described in 20.205A, 20.205B, 20.205C, 20.205D, 20.205E, 20.205G, 20.205I and 20.205K) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Highway Planning and Construction: Interstate Highway Substitution (20.205K)

Program Objectives: To assist state highway agencies in the development of an integrated, interconnected network of highways by funding substitute highway projects in place of withdrawn portions of the Interstate Highway System.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: Surface Transportation Assistance Act of 1982, Public Law 97-424 (23 USC §§101 et seq.). The apportionment provision is in 23 USC §103(e)(4). Matching requirements are found in 23 USC §103(e)(4). Funding authorization expired September 30, 1986.

Financial Information: Account Identification: 20-8102-0-7-401 Authorizations: FY 83 $846,500,000; FY 84 $700,000,000 ($525 million was apportioned by formula and $175 million was allocated via agency discretionary grants); and FY 85 $700,000,000 ($525 million was apportioned by formula and $175 million was allocated via discretionary grants)

Formula Narrative

Funds are apportioned among 20 states and the District of Columbia. Substitute highway projects are projects that will be constructed in lieu of portions of the previously planned Interstate Highway System. State and local governments cooperated in selecting portions of the planned interstate to be withdrawn and proposed an alternative program that would serve the same areas (known as "withdrawal areas"). Requests to withdraw planned portions of the Interstate and the proposed alternatives had to be approved by the Department of Transportation by September 30, 1983. States are entitled to receive the amount of funds equal to that which would have been necessary to complete portions of the Interstate System they withdrew (known as the "withdrawal value"). States were also allowed to split this amount between substitute highway and substitute mass transportation projects, in cooperation with local officials. (The substitute mass transportation projects were funded separately from the highway projects.)

A set-aside of up to 3.75 percent of total funds authorized each year for substitute highway projects is deducted for administrative costs. 75 percent of the remaining funds are apportioned to states in proportion to the withdrawal value of the highway segments withdrawn from the interstate construction program. The other 25 percent is set aside for discretionary grants which, in recent years, the Congress has earmarked for particular projects eligible for funding in the substitute program. The Federal Highway Administration has updated the withdrawal values using construction cost indexes and transmitted the updated figures and apportionment factors to the Congress for statutory approval.

Mathematical Structure:
STATE SHARE = WV/WVTOT

Definitions:
WV = withdrawal value, the estimated value of segments of the interstate system which were withdrawn from the interstate system.
WVTOT = total withdrawal value of all withdrawn segment of the interstate system.

Data Sources

Data Element	Source	Data Element Type
Withdrawal value. (WV)	DOT, estimates submitted to Congress for statutory approval and printed by House or Senate Committees.	Total project cost.

Matching Requirements: Federal share is 85 percent, except for projects for traffic control signalization, where the federal share may amount to 100 percent.

Maintenance of Effort Requirement: No.

Comments: Funds under this program are not given to local governments, but are reserved from projects that serve the withdrawal area.

This program and eight others (described in 20.205A, 20.205B, 20.205C, 20.205D, 20.205E, 20.205G, 20.205I and 20.205J) are funded by the Highway Trust Fund. States are guaranteed that their percentage share of funding in total under these programs is at least 85 percent of their estimated percentage share of highway user taxes paid into the Trust Fund. Ten states received an additional $424 million in funding due to this provision in FY 1984.

Motor Carrier Safety Assistance Program (20.218)

Program Objectives: To reduce the number and severity of accidents and hazardous materials incidents involving commercial motor vehicles by substantially increasing the level of enforcement activity and the likelihood that safety defects, driver deficiencies, and unsafe carrier practices will be detected and corrected.

Federal Agency: Department of Transportation, Federal Highway Administration

Governing Authority: Public Laws or Acts: The Surface Tranportation Assistance Act of 1982, Public Law 97-424, Title IV (49 USC Appx. §§2301 et seq.). Matching provisions found in 49 USC Appx. §§2303-2304. Funding is authorized through September 30, 1988.

Code of Federal Regulations: 49 CFR 350. Allocation provisions found in 49 CFR 350.21.

Administrative Rule: 49 FR 38137

Financial Information: Account Identification: 69-8027-0-7-401
Obligations: FY 83 $0; FY 84 $8,000,000; and FY 85 $14,000,000

Formula Narrative

Funds are distributed to a state agency designated and certified by the governor. Territories are eligible to receive funds and are treated as states for the purposes of the program. Up to $50,000 is set aside for each state that is in a developmental status and is preparing safety programs not yet ready for implementation. The remaining funds are distributed via formula.

Funds are allocated to states based on each state's proportionate share of 5 weighted factors: (1) road mileage (20 percent), (2) the number of vehicle miles travelled by all vehicles (20 percent), (3) the number of commercial vehicles of 10,000 lbs. gross vehicle weight rating (20 percent), (4) population (20 percent), and (5) gallons of truck fuel consumed (20 percent). The minimum allocation for a state has been set at $75,000 for FY 1984, $150,000 for FY 1985 and $225,000 for FY 1986-88. The maximum allocation has been set at $1,250,000.

Mathematical Structure:
STATE SHARE = (1/5 * RM/RMTOT) + (1/5 * VMT/VMTTOT) + (1/5 * VEH/VEHTOT) + (1/5 * FUEL/FUELTOT) + (1/5 * POP/POPTOT)

Definitions:
RM = road mileage of all highways in state
RMTOT = road mileage of all highways in all states
VMT = vehicle miles travelled by all vehicles in state
VMTTOT = vehicle miles travelled by all vehicles in all states
VEH = number of commercial vehicles over 10,000 lbs. gross vehicle weight rating in state
VEHTOT = number of commercial vehicles over 10,000 lbs. gross vehicle weight rating in all states
FUEL = truck fuel consumption in state
FUELTOT = truck fuel consumption in all states
POP = population in a state
POPTOT = population in U.S.

Data Sources

Data Element	Source	Data Element Type
Road mileage. (RM)	DOT, FHWA, "Annual Highway Statistics," 1981.	Workload factor.
Vehicle miles. (VMT)	DOT, FHWA, "Annual Highway Statistics," 1981.	Workload factor.
Number of commercial vehicles of 10,000 lbs. gross vehicle weight rating. (VEH)	DOT, FHWA, "Annual Highway Statistics," 1981.	Workload factor.
Special fuel consumption. (FUEL)	DOT, FHWA, "Annual Highway Statistics," 1981.	Workload factor.
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.

Matching Requirements: Federal share is 80 percent of total program costs.

Maintenance of Effort Requirement: Yes.

Comments: No.

Local Rail Service Assistance (20.308)

Federal Agency: Department of Transportation, Federal Railroad Administration

Governing Authority: Public Laws or Acts: Department of Transportation Act of 1966, Public Law 89-670, Section 5, as added by the Rail Revitalization and Regulation Reform Act of 1976, Public Law 94,210, Title VIII, Section 803, as amended (49 USC Appx. §1654). Entitlement provisions are found at 49 USC §1654(h). Matching provisions are found at 49 USC Appx. §1654(g). Funding authorization for this program is continuous.

Program Objectives: To promote continued rail freight service on light density lines through rehabilitation of existing rail lines.

Financial Information: Account Identification: 69-0700-0-1-401
Obligations: FY 83 $22,319,881; FY 84 $14,856,129; and FY 85 $8,196,304

Formula Narrative

Funds are distributed among state agencies designated by governors. The state, in turn, contracts with privately-owned rail carriers to rehabilitate rail lines. To be eligible, state rail mileage must be regulated by the Interstate Commerce Act. Hawaii and the territories do not meet this eligibility criteria.

Distribution among eligible states is based on the mileage of abandoned rail lines. Two-thirds is distributed in proportion to the state's share of: (1) total national mileage of lines that rail carriers seek to abandon within the next three years, (2) mileage of lines potentially subject to abandonment, and (3) mileage of lines which have an abandonment application pending before the Interstate Commerce Commission (ICC). Distribution of the remaining one-third is based on the mileage of lines for which ICC has approved abandonment applications within the last three years. No state receives less than one percent of total funds being distributed. States may not use more than $100,000 of their allotment for planning purposes.

Mathematical Structure:
STATE SHARE = [2/3 * (ABAN1 + ABAN2 + ABAN3) + 1/3 * (ABAN4)]/SUM OF NUMERATOR

Definitions:
ABAN1 = Total mileage of rail lines which carrier will seek to abandon within the next three years, in a state

ABAN2 = Total mileage of rail lines potentially subject to abandonment in a state
ABAN3 = Total mileage of rail lines in state which have abandonment application pending before ICC
ABAN4 = Total mileage of rail lines in a state for which ICC has approved abandonment applications within last three years

Data Element	Data Sources Source	Data Element Type
Total mileage of rail lines carriers will seek to abandon in next 3 years. (ABAN1)	ICC, Rail system diagram maps submitted annually by railroad common carriers.	Workload factor.
Total mileage of rail lines potentially subject to abandonment in state (ABAN2)	ICC, Rail system diagram maps submitted annually by railroad common carriers.	Workload factor.
Total mileage of rail lines in state which have abandonment application pending before ICC. (ABAN3)	ICC, Rail system diagram maps submitted annually by railroad common carriers.	Workload factor.
Total mileage of rail lines in state that ICC has approved abandonment applications within last 3 years. (ABAN4)	ICC Certificates and Decisions Authorizing Abandonment.	Workload factor.

Matching Requirements: Federal share is 70 percent of total program costs.

Maintenance of Effort Requirement: No.

Comments: None.

Urban Mass Transportation Technical Studies Grants (20.505)

Program Objectives: To provide assistance to states and localities for the planning, engineering, design and evaluation of urban public mass transportation projects; for the develeopment of regional transportation plans; and for other technical studies relating to the construction, acquisition or improved operation of public transportation systems, facilities and equipment.

Federal Agency: Department of Transportation, Urban Mass Transportation Administration

Governing Authority: Public Laws or Acts: Urban Mass Transportation Act of 1964, Public Law 88-365, as amended by the Surface Transportation Assistance Act of 1982, Public Law 97-424 (49 USC Appx. §§1603, 1607 and 1617). Funding authorization expired on September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: 49 CFR 613.100 and 23 CFR 450, Subpart A.

Administrative Rule: "Program Guidance and Application Instructions for Planning and Technical Studies Grants, Urban Mass Transportation Administration Circular 8100.1A, August 30, 1985. Matching provision is in Chapter I-1.

Financial Information: Account Identification: 69-1119-1-1-401 Obligations: FY 83 $50,593,050; FY 84 $48,169,974; and FY 85 $47,137,241

Formula Narrative

Formulas are used to establish funding levels for state agencies responsible for statewide transit planning and for metroplitan planning organizations (MPOs) responsible for planning in urbanized areas of 50,000 or more population. However, state agencies have the discretion to perform the planning function for urbanized areas between 50,000 and 200,000 population under this program. The state agencies and MPOs are funded on a discretionary basis from funds earmarked for their use.

Up to 10 percent of the the appropriation is set aside at the federal level for special studies and contingency funds. Another 10 percent is earmarked for state agencies in proportion to their state's share of the national population.

The remaining 80 percent is earmarked for urbanized areas, based on their proportionate share of the national urbanized population. Funding is allocated using a method whose effect is similar to using a formula based on squaring each urbanized area's population. The result is higher per capita grants to the largest urbanized areas (see "Comments" section).

Each state and urbanized area is guaranteed a minimum allocation of $20,000.

Mathematical Structure:
STATE SHARE (10 percent) = POP/POPTOT
URBANIZED AREA SHARE (80 percent) = UPOP^2 /SUM OF NUMERATOR

Definitions:
POP = state population
POPTOT = national population
UPOP = urbanized population squared in an area with 50,000 or more

Data Sources

Data Element	Source	Data Element Type
Population. (POP, UPOP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.

Matching Requirements: The federal share is up to 80 percent, except for studies of private sector financing and provision of transit services, where the federal share is up to 100 percent.

Maintenance of Effort Requirement: No.

Comments: The actual method for calculating funding for urbanized areas is too complex to express in simple mathematical form. The population squared formula described above is meant only to convey the approximate effect of the method actually used by UMTA.

In FY 1986, $2 million was set aside from the 80 percent to be allocated to urbanized areas and allocated to UMTA regional offices for private sector initiatives planning. These funds were allocated based on each of the ten UMTA regions' shares of total funds going to urbanized areas.

Urban Mass Transportation Capital and Operating Assistance Formula Grants: Large Urban Areas (20.507A)

Program Objectives: To assist in financing the acquisition, construction, planning, and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, and the payment of operating expenses to improve or to continue such service by operation, lease, contract or otherwise.

Federal Agency: Department of Transportation, Urban Mass Transportation Administration

Governing Authority: Public Laws or Acts: Urban Mass Transportation Act of 1964, Public Law 88-365, Section 5, as revised by the Surface Transportation Assistance Act of 1982, Public Law 97-424, Title III, Section 307, as amended (49 USC Appx. §1604). Apportionment and matching provisions are at 49 USC Appx. §1607a. Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Administrative Rule: UMTA Circular 9030.1, "Section 9 Formula Grant Application Instructions," June 27, 1983.

Financial Information: Account Identification: 69-1119-0-1-401; 69-8013-0-7-401
Obligations: FY 83 $543,300,000 (section 9A transition); FY 84 $1,722,900,000; and FY 85 est $2,127,500,000.

Formula Narrative

Appropriations for mass transit are divided into three separate "pots" for further apportionment. One pot is for large urban areas with 200,000 or more population (88.43 percent of the total appropriation). The second pot is for small urban areas with at least 50,000 but not more than 200,000 population (8.64 percent). The third pot is for non-urban areas (2.93 percent), where funds are provided to the states. The formula for large urban areas follows. The formula for small urban areas is in 20.507B and for non-urban areas, in 20.509.

Apportionments are made among large urban areas. 33.29 percent of the funds are distributed for rail transit service and the remaining 66.71 percent for bus service.

Rail Apportionments. 95.61 percent of the rail funds are distributed by two factors: (1) fixed guideway vehicles miles, on which revenues are earned (60 percent), and (2) the total miles of track over which service is provided (40 percent).

The remaining 4.39 percent of rail funds are set asides that are distributed through an incentive formula which apportions funds in proportion to passenger miles squared and in inverse proportion to operating costs. In addition, a minimum of .75 percent of total rail funds will be apportioned to urban areas with a commuter rail and a population of 750,000 or more.

Bus Apportionments: 90.8 percent of bus funds are distributed using three factors: (1) the number of bus miles travelled during which revenues were earned (50 percent); (2) population (25 percent); and (3) population weighted by population per square mile (25 percent). This formula distributes 73.39 percent of available funds to places with 1 million or more population. The remaining 26.61 percent is distributed to places from 200,000 up to 1 million population.

The remaining 9.2 percent of the bus apportionment uses an incentive formula that distributes funds in proportion to passenger miles squared and in inverse proportion to operating costs.

Mathematical Structure:
Rail Formula (33.29 percent of total to be apportioned)
RAIL SHARE 1 = (.6*VEHIC1 + .4*SIZE)/SUM OF NUMERATOR
(95.61%)
RAIL SHARE 2 = [PASS1*(PASS1/COSTS1)]/SUM OF NUMERATOR
(4.39%)

Bus Formula (66.71 percent of total to be apportioned)
BUS SHARE 1 = [.5*VEHIC2 + .25*URBPOP + .25*(URBPOP*(URBPOP/
(90.8%) AREA))]/SUM OF NUMERATOR
BUS SHARE 2 = [PASS2 * (PASS2/COSTS2)]/SUM OF NUMERATOR
(9.2%)

Definitions:
VEHIC1 = fixed guideway vehicle miles travelled with passengers aboard
SIZE = fixed guideway route miles
PASS1 = fixed guideway passenger miles travelled
COST1 = rail operating costs
VEHIC2 = bus vehicle miles travelled with passengers aboard
URBPOP = urban area population
AREA = square miles in an urban area
PASS2 = bus passenger miles travelled
COST2 = bus operating costs

Data Sources

Data Element	Source	Data Element Type
Rail and bus vehicle miles over which revenues are earned. (VEHIC1, VEHIC2)	UMTA, "National Urban Mass Transportation Statistics, Section 15 Annual Report, 1982," Chapter 4 (Dec. 1983).	Workload factor.
Rail route miles. (SIZE)	UMTA, "National Urban Mass Transportation Statistics, Section 15 Annual Report, 1982," Chapter 4 (Dec. 1983).	Workload factor.
Rail and bus passenger miles. (PASS1, PASS2)	UMTA, "National Urban Mass Transportation Statistics, Section 15 Annual Report, 1982," Chapter 4 (Dec. 1983).	Incentive factor.
Rail and bus operating costs. (COST1, COST2)	UMTA, "National Urban Mass Transportation Statistics, Section 15 Annual Report, 1982," Chapter 4 (Dec. 1983).	Incentive factor.
Population. (URBPOP)	Census Bureau, "1980 Census of Population, Characteristics of the Population," PC80-1-A1 (1982).	Workload factor.
Land area. (AREA)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Used to calculate unit cost factor.
Population density. (URBPOP/AREA)	See "Mathematical Structure" section.	Unit cost factor.

Matching Requirements: The federal match for planning and/or capital assistance will not exceed 80 percent of net project costs. The federal match for operating assistance will not exceed 50 percent of net project costs.

Maintenance of Effort Requirement: No.

Comments: None.

Urban Mass Transportation Capital and Operating Assistance Formula Grants: Small Urban Areas (20.507B)

Program Objectives: To assist in financing the acquisition, construction, planning, and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, and the payment of operating expenses to improve or to continue such service by operation, lease, contract or otherwise in small urban areas.

Federal Agency: Department of Transportation, Urban Mass Transportation Administration

Governing Authority Public Laws or Acts: Urban Mass Transportation Act of 1964, Public Law 88-365, Section 5, as revised by the Surface Transportation Assistance Act of 1982, Public Law 97-424, Title III, Section 307, as amended (49 USC Appx. §1604). Apportionment and matching provisions are at 49 USC Appx. §1607a. Funding authorization expired on September 30, 1986, but funds have been appropriated through September 30, 1987.

Administrative Rule: UMTA Circular 9030.1, "Section 9 Formula Grant Application Instructions", June 27, 1983.

Financial Information: Account Identification: 69-1119-0-1-401; 69-8013-0-7-401 Obligations: FY 83 $29,500,000 (section 9A transition); FY 84 $74,000,000; and FY 85 est $123,400,000

Formula Narrative

Apportionments for mass transit are divided into three separate "pots" for further allocation. One pot is for large urban areas with 200,000 or more population (88.43 percent of the total appropriation). The second pot is for small urban areas with at least 50,000 but not more than 200,000 population (8.64 percent). The third pot is for non-urban areas (2.93 percent). The formula for large urban areas is described in 20.507A; the formula for small urban areas follows. The formula for non-urban areas is in 20.509.

Apportionments are made to local areas with at least 50,000 but not more than 200,000 population as follows: each locality's proportionate share is based on the population of all eligible localities (50 percent) and each locality's proportionate share of population weighted by density—population per square mile (50 percent). Localities must have projects approved by the Urban Mass Transportation Administration before receiving funding.

Mathematical Structure:
LOCALITY'S SHARE = .50*(POP/POPTOT) + [.50*(POP*(POP/AREA))/SUM OF NUMERATOR]

Definitions:
POP = population of small urban area (from 50,000 up to 200,000)
POPTOT = population of all small urban areas
AREA = square miles in a small urban area

Data Sources

Data Element	Source	Data Element Type
Population of small urban areas. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Land area in square miles. (AREA)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Used to calculate unit cost factor.
Population density. (POP/AREA)	See "Mathematical Structure" section.	Unit cost factor.

Matching Requirements: The federal match for planning and/or capital assistance is not to exceed 80 percent of project costs. The federal match for operating assistance is not to exceed 50 percent of project costs.

Maintenance of Effort Requirement: No.

Comments: None.

Public Transportation for Nonurbanized Areas (20.509)

Program Objectives: To improve, initiate, or continue public transportation service in nonurbanized areas by providing financial assistance for the acquisition, construction, and improvement of facilities and equipment and the payment of operating expenses by operating contract, lease, or otherwise.

Federal Agency: Department of Transportation, Urban Mass Transportation Administration

Governing Authority: Public Laws or Acts: The Urban Mass Transportation Act of 1964, Public Law 88-365, Section 18, as amended by the Surface Transportation Assistance Act of 1982, Public Law 97-424, Title III, Section 316, as amended (49 USC Appx. §1614). Apportionment provisions are found at 49 USC Appx. §1614. Funding authorization expired on September 30, 1986, but funds have been appropriated through September 30, 1987.

Administrative Rule: UMTA Circular 9040.1 (Sept. 23, 1983).

Financial Information: Account Identification: 69-1119-0-1-401 Obligations: FY 83 $81,623,000; FY 84 $115,961,702; and FY 85 est $116,000,000

Formula Narrative

Appropriations for mass transit are divided into three separate "pots" for further apportionment. One pot is for large urban areas (88.43 percent), a second is for small urban areas (8.64 percent) and the remaining 2.93 percent is for non-urbanized areas with populations of less than 50,000. The large urban area formula is described in 20.507A and the small urban area formula is described in 20.507B.

Apportionments for non-urbanized areas are made to states in proportion to each state's share of the total non-urbanized population in the U.S. "Non-urbanized population" is population in urban areas of less than 50,000 plus rural population. Up to 15 percent of each state's apportionment can be used for state administration, planning and technical assistance.

Mathematical Structure:
STATE SHARE = NONURB/NONURBTOT

Definitions:
NONURB = state's non-urbanized population
NONURBTOT = U.S. non-urbanized population

Data Sources		
Data Element	**Source**	**Data Element Type**
Non-urbanized population (areas with 50,000 and rural areas). (NONURB)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.

Matching Requirements: The federal share of eligible capital and project administrative expenses is not to exceed 80 percent of the net cost of the project. The federal share of net operating costs shall not exceed 50 percent. The federal share for state administration and technical assistance expenses is 100 percent, but it is not to exceed 15 percent of a state's total apportionment.

Maintenance of Effort Requirement: No.

Comments: None.

State and Community Highway Safety (20.600)

Program Objectives: To provide a coordinated national highway safety program to reduce traffic accidents, deaths, injuries, and property damage.

Federal Agency: Department of Transportation, National Highway Traffic Safety Administration/Federal Highway Administration

Governing Authority: Public Laws or Acts: Highway Safety Act of 1966, Public Law 89-564, Title I, Section 101, as amended (23 USC §402). Apportionment and matching provisions are found in 23 USC §402. Funding authorization is continuous.

Administrative Rule: Memorandum Guidelines - Child Restraint Programs Comprehensive Computerized Safety Recordkeeping System Oct. 29, 1984.

Financial Information: Account Identification: 69-8016-0-7-401; 69-0651-0-1-401
Obligations: FY 83 $100,000,000; FY 84 $99,900,000; and FY 85 est $126,000,000

Formula Narrative (FY 1985)

Funds are distributed to states and territories. Up to 5 percent of the appropriation may be set aside for federal administrative costs.

Remaining funds are apportioned among the states and territories on the basis of two factors: (1) the recipient's share of total population (75 percent) and (2) the recipient's share of total road mileage. No state may receive less that 1/2 of one percent of total funds distributed, and territories no less than 1/3 of one percent. For FY 1985 the territories minimum share has been reduced to 1/4 of one percent. (States must pass through at least 40 percent of their allotments to localities with local highway safety programs approved by the governor.)

After distribution via formula, 2 percent of a state's apportionment is set aside for safety belt encouragement, 8 percent for Child Restraint System Programs, and 10 percent for establishing and maintaining a comprehensive, computerized safety recordkeeping system.

Mathematical Structure:
STATE SHARE = .75 * (POP/POPTOT) + .25 * (ROAD/ROADTOT)

Definitions:
POP = state population
POPTOT = national population
ROAD = miles of public road under the jurisdiction of, and maintained by, a public authority and open to public travel in a state.
ROADTOT = miles of public road under the jurisdiction of, and maintained by, a public authority and open to public travel in the nation.

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Public road mileage. (ROAD)	State highway agencies special tabulations certified annually by the Governor. (Data used is as of December 31, 1982.)	Workload factor.

Matching Requirements: Federal share is 75 percent other than for planning and administration where the federal share is 50 percent.

Maintenance of Effort Requirement: No.

Comments: None.

Gas Pipeline Safety (20.700)

Program Objectives: To develop and maintain state gas pipeline safety programs.

Federal Agency: Department of Transportation, Research and Special Programs Administration

Governing Authority: Public Laws or Acts: Natural Gas Pipeline Safety Act of 1968, Public Law 90-481, as amended (49 USC Appx. §§1671 et seq.). Matching provisions are found at 49 USC Appx. §1674(d). Funding is authorized through September 30, 1987.

Financial Information: Account Identification: 69-0104-0-1-407 Obligations: FY 83 $3,500,000; FY 84 $3,553,000; and FY 85 est $4,500,000

Formula Narrative

Funds are distributed to the state regulatory agency which has jurisdiction over natural gas pipeline safety. The District of Columbia and Puerto Rico participate as states. Before allocation through the formula, approximately 1.4 percent of funds is set aside for distribution on a discretionary basis for out-of-state travel.

States submit a budget request for the coming fiscal year. DOT makes an initial allocation that funds a fixed percentage of states' requests. The funding percentage declines in proportion to the size of the budget request so that small states have a larger share of their proposed budget funded. The initial allocation, however, exceeds the amount appropriated by Congress, resulting in unfunded budget requests (i.e. the difference between the amount DOT initially allocates and the amount appropriated by Congress). Consequently, each state's initial allotment is reduced in proportion to its unfunded budget request so that states with the largest budget requests have their initial allocation reduced the most.

For FY 1985, 78 percent of the funds are appropriated based on the above formula used in FY 1984. The remaining 22 percent was allocated based on a performance index established by DOT. The performance index scores states on five components: (1) the number of types of companies the state has jurisdiction over (43 percent), (2) the extent to which the state has legal responsibility for inspection and/or enforcement, (22 percent), (3) qualifications of inspectors (13 percent), (4) percentage of staff time spent performing inspections (13 percent), and (5) the number of inspectors (9 percent).

Mathematical Structure:
STATE ALLOTMENT (FY 1984) = [FP*.5B] - [[SUM OF (FP*.5B) -A84]*
[(.5B - (FP*.5B))/SUM OF NUMERATOR]]
where,
First bracket represents initial allotment
Second bracket represents total unfunded request, and
Third bracket represents state's share of unfunded request

STATE ALLOTMENT (FY 1985) = (.78 * ALLOT84) + [.22 * A85 *
(SCORE/SCORETOT)]

Definitions:
B = a state's budget request
FP = federal funding percentage (equals .99 if the budget request is less than $5,000 and decreases by 1 percentage point for each additional $5,000 requested)
A84 = fiscal year 1984 appropriation
A85 = fiscal year 1985 appropriation
SCORE = score of a state based on 5 performance measures

Data Sources		
Data Element	**Source**	**Data Element Type**
Federal funding percentage. (FP)	DOT.	N/A.
Budget request. (B)	DOT, Research and Special Programs Administration, state grant application estimated budgets compiled and updated annually unpublished).	Total project costs.
State performance rating score. (SCORE)	DOT.	Incentive factor.

Matching Requirements: The federal share is up to 50 percent of program costs.

Maintenance of Effort Requirement: Yes.

Comments: None.

Transportation Services for Elderly and Handicapped: Capital Assistance Program (20.999)

Program Objectives: To provide assistance in meeting the transportation needs of elderly and handicapped persons in areas where public transportation services are unavailable, insufficient or inappropriate.

Federal Agency: Department of Transportation, Urban Mass Transportation Administration

Governing Authority: Public Laws or Acts: Urban Mass Transportation Act of 1964, Public Law 88-365, Section 16, as amended by the Surface Transportation Assistance Act of 1982, Public Law 97-424, Title III, Section 317(a), as amended (49 USC Appx. §§1612 and 1617). Funding authorization expired September 30, 1986.

Code of Federal Regulations: 49 CFR 609.

Administrative Rule: "Section 16(b)(2) Capital Assistance Program Guidance, Urban Mass Transportation Circular 9070.1A, May 14, 1985. Allocation provisions are found in Chapter II-1. Matching provision is in Chapter II-7.

Financial Information: Account Identification: 69-8191-0-7-401 Obligations: FY 83 $24,049,570; FY 84 $32,790,637; and FY 85 $32,070,141

Formula Narrative

Funds are allocated to states and territories. State agencies, in turn, award funds to private, non-profit organizations that provide transportation services to Elderly and Handicapped Persons.

States, Puerto Rico, the Virgin Islands and Guam receive minimum grants of $125,000 each. The Northern Marianas and American Samoa receive minimum grants of $50,000 each. Remaining funds are distributed based on each state or territory's proportionate share of the number of elderly persons ages 65 and over, plus the number of handicapped persons, ages 16 to 64, with a public transportation disability. States may set aside the greater of $25,000 or 10 percent of their allocations for administrative costs.

Mathematical Structure:
STATE SHARE = (ELDPOP + HANDPOP)/SUM OF NUMERATOR

Definitions:
ELDPOP = elderly population, ages 65 and over, in a state

HANDPOP = handicapped population with a public transportation disability, ages 16 to 64, in a state

Data Sources

Data Element	Source	Data Element Type
Elderly population, ages 65 and over. (ELDPOP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 930 (April 1983).	Workload factor.
Handicapped population with a public transportation disability, ages 16 to 64. (HANDPOP)	Census Bureau, "Provisional Estimates of Social, Economic, and House Characteristics," PHC80-S1-1 (March 1982).	Workload factor.

Matching Requirements: The federal share of program costs is up to 80 percent. The nonfederal share (not less than 20 percent) must be provided from sources other than federal funds except that federal funds from general revenue sharing, the HUD community development block grant and Appalachian Regional Commission programs may be treated as nonfederal funds.

Maintenance of Effort Requirement: No.

Comments: This program is funded by a set-aside of up to 3.5 percent of the total amount authorized in Section 21(a)(2) of the Urban Mass Transportation Act (49 USC §1617) to implement programs carrying out Sections 3, 4(i), 8 and 16(b) of the Act. The programs corresponding to these sections are: the Urban Mass Transportation Capital Improvement Grants (20.500), Innovative Technology and Methods in the Management and Operation of Public Transportation (20.506), Urban Mass Transportation Technical Studies Grants (20.505), and this program (20.999).

Section 9

Department of the Treasury

Source: GAO

General Revenue Sharing (21.300)

Program Objectives: To provide financial assistance to general purpose local governments.

Federal Agency: Department of the Treasury, Office of Revenue Sharing

Governing Authority: Public Laws or Acts: The State and Local Fiscal Assistance Act of 1972, Public Law 92-512, as amended (31 USC §§6701-6724). Allocation provisions are found at 31 USC §§6705-6713. Funding entitlements expired on September 30, 1986.

Code of Federal Regulations: Allocation provisions are in 31 CFR 51.0-51.32.

Administrative Rule: 50 FR 3455-3466.

Financial Information: Account Identification: 20-8111-0-7-851
Obligations: FY 83 $4,566,700,000; FY 84 $4,566,700,000; and FY 85 $4,566,700,000

Formula Narrative

The formula distributes funds to local governments through a four-tiered process.

TIER 1: Allocations are made to state areas on the basis of a three-factor or five-factor formula, whichever is greater. The three-factor formula is based on population, state and local tax revenues as a percent of resident income, and per capita income. The five-factor formula includes two additional factors: state income taxes collected and urban population. Allocations are then ratably reduced to conform to appropriation levels.

TIER 2: County area allocations are made from the state area allocation based on the three factor formula using population, local tax revenues and per capita income. If any county area is allocated an amount which, on a per capita basis, exceeds 145 percent of the per capita entitlement for the state, then its allocation is reduced to the 145 percent level and the remaining amount is shared proportionately by all remaining unconstrained areas in the state. Similarly, if any county area is allocated less than 20 percent of the average per capita entitlement for the state, its allocation is increased to the 20 percent level and the remaining deficit is taken from all the remaining unconstrained county areas in the state.

TIER 3: County area allocations are then divided into two parts, based on population. The first part goes to any Indian tribes or Alaskan native villages based on their share of county population. The second is subdivided, based on the proportion of taxes collected, among the county government, all municipalities in the county area, and all townships in the county area.

TIER 4: The two "pots" for municipalities and townships within each county area are divided among the individual municipalities and townships based on the three factor formula using population, tax revenues and per capita income. If a unit of government, other than a county government, receives more than 145 percent of statewide allocations (on a per capita basis), it is adjusted to the 145 percent. If a unit receives lower than 20 percent, its allocation is raised to the lower of either the 20 percent level or 50 percent of its adjusted taxes, plus intergovernmental transfers. Then, if any unit receives more than 50 percent of its adjusted taxes plus transfers, its allocation is reduced to that level and the excess is given to the county government. Also if the county government has been allocated more than 50 percent of its adjusted taxes plus transfers, its allocation is reduced to that level and the excess is allocated among units of general local government in the rest of the state, on a pro rata basis. If an allocation for any unit of government, other than Indian tribes or Alaskan native villages, is less than $200 or any unit of local government waives its entitlement, those funds are added to the allocation of the county government.

Mathematical Structure: State area allocations are made on the basis of either a 3-factor or a 5-factor formula, whichever is greater. Allocations to units of local governments within a state are made on the basis of the 3-factor formula using data applicable to local governments.

3-Factor Formula:
STATE SHARE = POP*(PCIUS/PCI)*(TAXES/INCOME)/SUM OF NUMERATOR

5-Factor Formula:
(Note: fractional weights are rounded)

STATE SHARE = 4/18(POP/POPTOT) + 4/18(URB/URBTOT) + 4/18[POP*(PCIUS/PCI)/SUM OF NUMERATOR] + 3/18[TAXES*(TAXES/INCOME)/SUM OF NUMERATOR] + 3/18(YTAX/YTAXTOT)

Definitions:
POP = state population
POPTOT = U.S. population
URB = total urban population in state
URBTOT = total urban population in nation
PCI = per capita income of a state
PCIUS = national per capita income
TAXES = tax revenues from state and local governments in a state
INCOME = aggregate personal income of state residents
YTAX = income tax collection of state
YTAXTOT = total state income taxes collected in the nation

Data Sources (for FY 1985)

Data Element	Source	Data Element Type
Population, state-level. (POP)	Census Bureau, "Population Estimates and Projections as of July 1, 1983," Series P-25, No. 970.	Workload factor.
Population, urbanized and substate. (URB)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Per capita income. (PCI)	Census Bureau, "Current Population Report," Series P-26, No. 82-nn-SC, For CY 1981 (updated biannually).	Fiscal capacity factor.
State and local taxes. (TAXES)	Census Bureau, "Government Finances, 1982-83," (GF-83, No. 5).	Incentive factor.
Aggregate personal income. (INCOME)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, Table 1 Vol. 64, No. 8 (Aug. 1984) for CY 1982.	Fiscal capacity factor.
State individual income tax. (YTAX)	Census Bureau, "Quarterly Summary of State and Local Tax Revenue," Oct.-Dec. 1983." for CY 1983.	Incentive factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Appalachian Regional Commission

Source: Kenneth Murray, courtesy of the Appalachian Regional Commission

Appalachian Local Access Roads (23.008)

Program Objectives: To stimulate accelerated social and economic development in the Appalachian region and to meet the other objectives stated under the program entitled Appalachian Regional Development (23.001), by providing access to industrial, commercial, educational, recreational, residential, and related transportation facilities which directly or indirectly relate to the improvement of the areas determined by the states to have significant development potential.

Federal Agency: Appalachian Regional Commission

Governing Authority: Public Laws or Acts: Appalachian Regional Development Act of 1965, Public Law 89-4, Title II, Part A, Section 201, as amended (40 USC App. 201). Matching provisions are found at 40 USC Appx. 201(f). Funding authorization expired on September 30, 1982, but funds have been appropriated through September 30, 1987.

Administrative Rule: Appalachian Regional Commission Code contains allocation and matching provisions.

Financial Information: Account Identification: 11-0090-0-1-452
Obligations: FY 83 $2,261,413; FY 84 $6,365,630; and FY 85 est $12,435,000

Formula Narrative

Allocations to the 13 states in the Appalachian Regional Commission are based on three weighted factors: (1) a state's share of the Appalachian region's population (1/3); a state's share of the region's land area (1/3); and a state's share of funding if it were allocated equally among the 13 states (1/3).

Mathematical Structure:
STATE SHARE = 1/3*(POP/POPTOT) + 1/3*(LAND/LANDTOT) + 1/3*(1/N)

Definitions:
POP = population of a state
POPTOT = population of the 13 states
LAND = land area of a state
LANDTOT = land area of the 13 states
N = number of states in ARC (13)

Data Sources		
Data Element	**Source**	**Data Element Type**
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25 (1978).	Workload factor.
Land area. (LAND)	Census Bureau, "1970 Census of Population," Vol. I (1973).	Workload factor.
Number of participating states. (N)	Determined by ARC.	Unit cost factor.

Matching Requirements: The federal share is limited to a maximum of 80 percent.

Maintenance of Effort Requirement: No.

Comments: None.

Section 11

National Foundation on the Arts and the Humanities

Source: Daemmrich/Uniphoto

Promotion of the Arts: State Programs (45.007)

Program Objectives: To assist state and regional public arts agencies in the development of programs for the encouragement of the arts and artists, and to assist organizations providing services at a national level to state or local arts agencies. Not less than 20 percent of the Endowment for the Arts' total program funds must be made available to states and regional arts organizations.

Federal Agency: National Foundation on the Arts and the Humanities, National Endowment for the Arts

Governing Authority: Public Laws or Acts: National Foundation on the Arts and the Humanities Act of 1965, Public Law 89-209, as amended (20 USC §§951 et seq.) Allocation and matching provisions are found at 20 USC §954(g). Funding is authorized through September 30, 1990.

Administrative Rule: "State Programs Guidelines FY 85/86."

Financial Information: Account Identification: 59-0100-0-1-503
Obligations: FY 83 $21,142,000; FY 84 $24,551,800; and FY 85 est $24,300,000

Formula Narrative

Funds are distributed to state governments, territories and regional arts organizations. Each state and territory with an approved plan (56 entities) receives a flat grant of $200,000. If available funds are not sufficient to provide $200,000 per recipient, then funds are allotted equally among them.

However, if available funds exceed the amount needed to allocate $200,000 per recipient, then the excess is distributed according to the following criteria: (1) Up to 25 percent of available funds is distributed based on a two-part formula; half is allocated to states, based on their proportionate share of the total population, and half is allocated to regional arts organizations, based on the relative number of participating states in each region (regional arts organizations then make discretionary awards with the funds).

(2) Any remaining funds are divided equally among the 52 states and territories with populations greater than 200,000.

Mathematical Structure:
STATE SHARE 1 = POP/POPTOT
REGION SHARE = STATE/STATETOT
STATE SHARE 2 = 1/N

Definitions:
POP = state population
POPTOT = national population
STATE = total number of participating states in the same region
STATETOT = total number of participating states in all regions
N = number of states and territories with populations greater than 200,000

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 944.	Workload factor.
Number of states in region. (STATE)	Data maintained by National Endowment for the Arts.	Unit cost factor.
Number of participating states. (N)	Determined by the National Endowment for the Arts.	Unit cost factor.

Matching Requirements: Federal funds provide 50 percent of program costs, although 100 percent may be paid under certain circumstances.

Maintenance of Effort Requirement: None.

Comments: None.

Promotion of the Humanities: State Programs (45.129)

Program Objectives: To promote local humanities programming through renewable program grants to humanities councils within each of the 50 states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands for the purpose of distributing funds to local nonprofit organizations, institutions, and groups. Under the provisions of 20 USC §956(f)(8), only one entity in each state may receive assistance as the state humanities group to administer this program.

Federal Agency: National Foundation on the Arts and the Humanities, National Endowment for the Humanities

Governing Authority: Public Laws or Acts: National Foundation on the Arts and the Humanities Act of 1965; Public Law 89-209, as amended (20 USC §§951 et seq.) Allocation and matching provisions are in 20 USC §956(f). Funding is authorized through September 30, 1990.

Administrative Rule: "Division of State Programs Procedures Manual," January 27, 1984.

Financial Information: Account Identification: 59-0200-0-1-503
Obligations: FY 83 $20,329,000; FY 84 $21,850,000; and FY 85 $21,413,000

Formula Narrative

Funds are allocated to state areas and territories. A state agency or alternate grant recipient receives the funds. Each state and territorial humanities council receives $200,000. Of the remainder, 34 percent is awarded at the discretion of the Chairman of the National Endowment for the Humanities. Of the amount then remaining, 1/3 is divided among the states and territories based on population and 2/3 is divided equally among the states and territories (except territories with less than 200,000 population).

Mathematical Structure:
STATE SHARE = 1/3*(POP/POPTOT) + 2/3*(1/N)

Definitions:
POP = state population
POPTOT = national population
N = number of states and territories with population greater than 200,000

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	Workload factor.
Number of participating states. (N)	Determined by National Endowment for the Humanities.	Unit cost factor.

Matching Requirements: Federal funds will cover a maximum of 50 percent of program costs, although 100 percent may be paid under certain circumstances.

Maintenance of Effort Requirement: No.

Comments: None.

Section 12

Veterans Administration

Source: GAO

Veterans State Domiciliary Care (64.014)

Program Objectives: To provide financial assistance to states furnishing domiciliary care to eligible veterans in state veterans' homes which meet the standards prescribed by the VA Administrator.

Federal Agency: Veterans Administration, Department of Medicine and Surgery

Governing Authority: Public Laws or Acts: Act of September 2, 1958, Public Law 85-857, as amended (38 USC §641). Reimbursement provisions are found at 38 USC §641. This program has continuous funding authorization.

Administrative Rule: VA DM&S Manual M-1, Operations, Part I, Chapter 13, Appendix 15G (December 9, 1982) as amended by II 10-84-3 (January 19, 1984).

Financial Information: Account Identification: 36-0160-0-1-703
Obligations: FY 83 $13,136,000; FY 84 $11,436,000; and FY 85 est $11,908,000

Formula Narrative

Payments to states are based on a statutory cost of $7.30 per patient day of care provided, or 50 percent of actual costs, whichever is lower. The 50 percent reimbursement of actual costs has always exceeded the statutory per diem rate in recent years and therefore the amount of federal aid received by any state is based on the $7.30 per patient rate.

Mathematical Structure:
Dual Formula
FEDERAL AID = $7.30*P
or
FEDERAL AID = .50*(D + I)*P

whichever is lower

Definitions:
D = direct domiciliary care, cost per patient day, for state home
I = indirect domiciliary care, cost per patient day, for state home
P = patient days of care administered by state home

Data Sources

Data Element	Source	Data Element Type
Patient days of d domiciliary care provided by state home. (P)	VA, "State Home Report and Statement of Federal Aid Claimed," VA Form 10-5588 (reported quarterly).	Workload factor.
Direct and indirect costs of care provided by state home. (D, I)	VA, "State Home Report and Statement of Federal Aid Claimed," VA Form 10-5588 (reported quarterly).	Unit cost factor.

Matching Requirements: The federal match is 50 percent of the sum of the state's direct and indirect costs incurred, but not to exceed a per diem rate of $7.30.

Maintenance of Effort Requirement: No.

Comments: None.

Veterans State Nursing Home Care (64.015)

Program Objectives: To provide financial assistance to states furnishing nursing home care to eligible veterans in state veterans' homes which meet the standards prescribed by the VA Administrator.

Federal Agency: Veterans Administration, Department of Medicine and Surgery

Governing Authority: Public Laws or Acts: Act of September 2, 1958, Public Law 85-857, as amended (38 USC §641). Reimbursement provisions are found at 38 USC §641. This program has continuous funding authorization.

Administrative Rule: VA DM&S Manual M-1, Operations, Part I, Chapter 15, Appendix 15G (December 9, 1982) as amended by II 10-84-3 (January 19, 1984).

Financial Information: Account Identification: 36-0160-0-1-703
Obligations: FY 83 $31,021,000; FY 84 est $39,891,000; and FY 85 est $51,031,000

Formula Narrative

Payments to states are based on a statutory cost of $17.05 per patient day of nursing home care provided, or 50 percent of actual costs, whichever is lower. The 50 percent reimbursement of actual costs has always exceeded the statutory per diem rate in recent years and therefore the amount of federal aid received by any state is based on the $17.05 per patient rate.

Mathematical Structure:
Dual Formula
FEDERAL AID = $17.05*P
or
FEDERAL AID = .50*(D + I)*P

whichever is lower

Definitions:
D = direct nursing home care, cost per patient day, for state home
I = indirect nursing home care, cost per patient day, for state home
P = patient days of nursing home care administered by state home

Data Sources

Data Element	Source	Data Element Type
Patient days of nursing home care provided by state home. (P)	VA, "State Home Report and Statement of Federal Aid Claimed," VA Form 10-5588 (reported quarterly).	Workload factor.
Direct and indirect costs of nuring home care provided by state home. (D, I)	VA, "State Home Report and Statement of Federal Aid Claimed," VA Form 10-5588 (reported quarterly).	Unit cost factor.

Matching Requirements: The federal match is 50 percent of the sum of the state's direct and indirect costs incurred, but not to exceed a per diem rate of $17.05.

Maintenance of Effort Requirement: No.

Comments: None.

Veterans State Hospital Care (64.016)

Program Objectives: To provide financial assistance to states furnishing hospital care to eligible veterans in state veterans' homes which meet the standard prescribed by the VA Administrator.

Federal Agency: Veterans Administration, Department of Medicine and Surgery

Governing Authority: Public Laws or Acts: Act of September 2, 1958, Public Law 85-857, as amended (38 USC §641). Reimbursement provisions are found at 38 USC §641. This program has continuous funding authorization.

Administrative Rule: VA DM&S Manual M-1, Operations, Part I, Chapter 15, Appendix 15G (December 9, 1982) as amended by II 10-84-3 (January 19, 1984).

Financial Information: Account Identification: 36-0160-0-1-703
Obligations: FY 83 $3,216,000; FY 84 est $2,603,000 and FY 85 est $2,872,000

Formula Narrative

Payments to states are based on a statutory cost of $15.25 per patient day of hospital care provided, or 50 percent of actual costs, whichever is lower. The 50 percent reimbursement of actual costs has always exceeded the statutory per diem rate in recent years and therefore the amount of federal aid received by any state is based on the $15.25 per patient rate.

Mathematical Structure:
Dual Formula
FEDERAL AID = $15.25*P
or
FEDERAL AID = .50*(D + I)*P

whichever is lower

Definitions:
D = direct hospital care, cost per patient day, for state home
I = indirect hospital care, cost per patient day, for state home
P = patient days of hospital care administered by state home

Data Sources		
Data Element	**Source**	**Data Element Type**
Patient days of hospital care provided by state home. (P)	VA, "State Home Report and Statement of Federal Aid Claimed," VA Form 10-5588 (reported quarterly).	Workload factor.
Direct and indirect costs of hospital care provided by state home. (D, I)	VA, "State Home Report and Statement of Federal Aid Claimed," VA Form 10-5588 (reported quarterly).	Unit cost factor.

Matching Requirements: The federal match is 50 percent of the sum of the state's direct and indirect costs incurred, but not to exceed a per diem rate of $15.25.

Maintenance of Effort Requirement: No.

Comments: None.

Section 13

Environmental Protection Agency

HAZARDOUS
WASTE
DUMP
DYING for Info?

Source: Courtesy of the Environmental Protection Agency

Construction Grants for Wastewater Treatment Works (66.418)

Program Objectives: To assist and serve as an incentive for construction of municipal wastewater treatment works which are required to meet state and federal water quality standards.

Federal Agency: Environmental Protection Agency, Office of Water

Governing Authority: Public Laws or Acts: Federal Water Pollution Control Act (Clean Water Act), Public Law 92-500; as amended, see also the Clean Water Act of 1977, Public Law 95-217 and the Municipal Wastewater Treatment Construction Grant Amendments of 1981, Public Law 97-117 (33 USC §§1251 et seq.). The allocation provisions are found at 33 USC §1285. Matching provisions are found at 33 USC §1282. Funding authorization expired on September 30, 1985, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: Matching provisions are in 40 CFR 35.2010 and 35.2152.

Administrative Rule: "Construction Grants 1985 (CG-85)" 430/9-84-004 (July 1984), and 49 FR 37847.

Financial Information: Account Identification: 68-0103-0-1-304
Obligations: FY 83 $3,737,439,500; FY 84 $3,640,300,000; and FY 85 $2,567,000,000

Formula Narrative

Funds are allocated to state areas based on four components: () the state's share of the costs of building treatment and interceptor facilities to meet its 1980 population (50 percent); (2) the cost of building treatment facilities and interceptors for its year 2000 population (25 percent); (3) the cost of building all types of facilities for the year 2000 population (12.5 percent); and (4) the state's 1976 population (12.5 percent). Based on priorities established by the state, community projects are funded up to the state's allotment level.

There are three constraints on the formula: (1) No state area shall receive less than 0.5 percent of total dollars appropriated in any year; (2) the percent share based on the 1980 estimated cost of building treatment and interceptor facilities must be greater than or equal to 80 percent of the percentage share of their FY 1982 allotment; and (3) combined, territories may not receive an amount in excess of .33 of 1 percent of total allocations.

There are four statutory set-asides from each state area's allotment: (1) EPA may reserve an amount not to exceed 4 percent of a state's allotment or $4,000,000 (whichever is greater) to provide construction mangement assistance grants to the state; (2) EPA may also set aside an amount not to exceed 1 percent of its allocation or $100,000 (whichever is greater) for water quality management planning; (3) A minimum of 4 percent (but not more than 7 percent) of each state's allotment must be used for innovative technologies or alternative processes; and (4) A maximum of 4 percent must be set aside for small communities (of 3,500 or less).

Mathematical Structure:
STATE SHARE = .50*(COST80/COST80TOT) + .25*(COST2000A/COST2000ATOT) + .125*(COST2000B/COST2000BTOT) + .125*(POP76/POP76TOT)

Definitions:
COST80 = cost of building treatment facilities and interceptors necessary to serve the 1980 population
COST80TOT = national cost of building treatment facilities and interceptors necessary to serve the 1980 population
COST2000A = cost of building treatment facilities and interceptors in the state for the estimated population in the year 2000
COST2000ATOT = cost of building treatment facilities and interceptors in the nation for the estimated population in the year 2000
COST2000B = cost of building all types of facilities (including treatment facilities and interceptors) in the state for the estimated population in the year 2000
COST2000BTOT = cost of building all types of facilities (including treatment facilities and interceptors) in the nation for the estimated population in the year 2000
POP76 = state population in 1976
POP76TOT = national population in 1976

Data Sources		
Data Element	**Source**	**Data Element Type**
Cost of building treatment facilities and interceptors in 1980. (COST80)	EPA, Needs Survey Report to the Congress for the 1980 Population (February 10, 1981)	Total project costs.
Cost of building treatment facilities and interceptors in the year 2000. (COST2000A, COST2000ATOT)	EPA, Needs Survey Report to the Congress for the Year 2000 Population (February 10, 1977).	Total project costs.
Cost of building all types of facilities for the year 2000. (COST2000B, COST2000BTOT)	EPA, Needs Survey Report to the Congress for the Year 2000 Population (February 10, 1977).	Total project costs.

Matching Requirements: For grant assistance awarded before October 1, 1984, the federal grant to communities may be up to 75 percent of eligible project costs. For new grants awarded after September 30, 1984, the federal grant to communities may be up to 55 percent of eligible project costs. The set asides for small communites must meet these same requirements. The federal match for the innovative technologies set-aside was up to 85 percent in FY 1984 and before; 75 percent for those grants made after FY 1984. There are no matching requirements for the management assistance grants or the water quality management planning grants.

Maintenance of Effort Requirement: No.

Comments: None.

Water Pollution Control: State and Interstate Program Grants (66.419)

Program Objectives: To assist state and interstate agencies in establishing and maintaining adequate policies for prevention and control of water pollution.

Federal Agency: Environmental Protection Agency, Office of Water

Governing Authority: Public Laws or Acts: Federal Water Pollution Control Act (Clean Water Act), Public Law 92-500, as amended, and the Clean Water Act, Public Law 95-217, as amended (33 USC §§1251 et seq.). Allocation provisions are found at 33 USC §1256. Statutory authorization has expired and it is funded by continuing resolution through September 30, 1987.

Code of Federal Regulations: Allocation provisions are in 40 CFR 35.

Financial Information: Account Identification: 68-0108-0-1-304
Obligations: FY 83 $54,200,000; FY 84 $54,200,000; and FY 85 $61,200,000

Formula Narrative

Appropriated funds are prorated among the states and interstate water pollution control agencies on the basis of the extent of the water pollution problems in the respective states as measured by the number of municipal dischargers, industrial dischargers, power generators and feed lots. Each state receives no less than the amount received in FY 1973 grants. Six interstate compacts receive a total of $1.4 million based on their proportion of funding received in FY 1973.

Mathematical Structure:
STATE SHARE = SOURCES/SOURCESTOT

where,

SOURCES = MUNI + IND + POWER + FEED
SOURCESTOT = Total number of sources in all states

Definitions:
MUNI = number of municipal facility dischargers in a state
IND = number of industrial establishments dischargers in a state
POWER = number of power generators in a state
FEED = number of feedlots with over 1000 head in a state

Data Sources

Data Element	Source	Data Element Type
No. of point sources: municipalities wastewater facilities. (MUNI)	EPA, Municipal Waste Facilities Directory (April 6, 1972).	Workload factor.
No. of point sources: industrial dischargers. (IND)	Census Bureau, 1967 Census of Manufacturers.	Workload factor.
No. of point sources: power plants (POWER)	National Coal Assn., Steam Electric Plant Factors, 1971 Edition.	Workload factor.
No. of point sources: feed lots. (FEED)	USDA, "Cattle on Feed," (January 1972).	Workload factor.

Matching Requirements: No match required.

Maintenance of Effort Requirement: Yes.

Comments: None.

State Public Water System Supervision Program Grants (66.432)

Program Objectives: To develop and implement state public water systems supervision programs monitoring drinking water quality and providing training to water system operators.

Federal Agency: Environmental Protection Agency, Office of Water

Governing Authority: Public Laws or Acts: Public Health Service Act, Public Law 78-410, as amended by the Safe Drinking Water Act, Public Law 93-523, as amended (42 USC §§300f to 300j-10). Allocation and matching provisions are found at 42 USC §300j-2. Statutory authorization for funding has expired and this program is operating under continuing resolution through September 30, 1991.

Code of Federal Regulations: Allocation provisions are in 40 CFR 35.115(e) and matching provisions are in 40 CFR 35.405.

Administrative Rule: "Final guidance for PWSS Grant Program Implementation-WSA #II-8", (Mar. 20, 1984).

Financial Information: Account Identification: 68-008-0-1-304
Obligations: FY 83 $26,189,700; FY 84 $27,383,220; and FY 85 $28,424,426

Formula Narrative

This program allocates grants to states and territories. The formula is comprised of four weighted factors: state population (30 percent); state land area (10 percent); the number of community water systems within the state (48 percent), and the number of non-community water systems within the state (12 percent). States and the Trust Territories receive a minimuim of one percent of funds being allocated. American Samoa, Guam, the Northern Mariana Islands and the Virgin Islands receive a minimum of one-third of one percent each.

Mathematical Structure:
STATE SHARE = .30*(POP/POPTOT) + .10*(AREA/AREATOT) + .48*(COMM/COMMTOT) + .12*(NCOMM/NCOMMTOT)

Definitions:
POP = state population
POPTOT = total population in all participating states and territories
AREA = state land area
AREATOT = total land area in all participating states and territories
COMM = number of community water systems in a state

COMMTOT = total number of community water systems in participating states and teritories

NCOMM = number of non-community water systems in a state

NCOMMTOT = total number of non-community water systems in participating states and teritories

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 911 (3).	Workload factor.
Land area. (AREA)	Census Bureau, "Statistical Abstract of the United States, 1983," 103rd Ed.	Unit cost factor.
Community and non-community water systems. (COM, NCOMM)	EPA, "Federal Reporting Data System," Report No. 32, (March 3, 1983).	Workload factor.

Matching Requirements: Federal share cannot exceed 75 percent of total program costs.

Maintenance of Effort Requirement: No.

Comments: None.

State Underground Water Source Protection: Program Grants (66.433)

Program Objectives: To foster development and implementation of underground injection control(UIC) programs for the protection of the underground water sources under the Safe Drinking Water Act. Injection wells are used for emplacement of fluids below the surface of the ground and to facilitate oil or natural gas production and mining.

Federal Agency: Environmental Protection Agency, Office of Water

Governing Authority: Public Laws or Acts: Safe Drinking Water Act, Public Law 93-523, as amended (42 USC §§300f - 300j-10). Allocation and matching provisions are found at 42 USC §300j-2. Funding authorization expired on September 30, 1985, but funds have been appropriated through September 30, 1991.

Code of Federal Regulations: Allocation and matching provisions in 40 CFR 35.5(f) and 40 CFR 35.455.

Financial Information: Account Identification: 68-0108-0-1-304
Obligations: FY 83 $7,039,000; FY 84 $7,500,200; and FY 85 $7,500,400

Formula Narrative (FY1985)

Allocations are made to participating states and territories. Each of these jurisdictions receives an initial allotment of $30,000 ($6,000 for each of 5 well classes). Remaining funds are allocated based on the sum of each states' proportionate share of the square root of seven weighted factors: (1) state population (10 percent), (2) state land area (10 percent), (3) the number of class I wells in a state (14 percent), (4) the number of class II wells in a state (40 percent), (5) the number of class III wells in a state (10 percent), (6) the number of class IV wells in a state (5 percent), and (7) the number of class V wells in a state (11 percent). (Injection wells are classified according to use, e.g., to inject waste or brine, or to inject for extraction of oil, gas and minerals).

Mathematical Structure:
STATE SHARE = + .10*(POP/POPTOT) + .10*(AREA/AREATOT) + .14*(CLASS/CLASSTOT) + .40*(CLASS2/CLASS2TOT) + .10*(CLASS3/CLASS3TOT) + .05*(CLASS4/CLASS4TOT) + .11*(CLASS5/CLASS5TOT)

Definitions:
POP = square root of a state's population
POPTOT = sum of the square roots of the population of all participating states and territories
AREA = square root of a state's land area

AREATOT = total of the square roots of the areas of all participating states and territories

CLASS 1,2,3,4,5 = square roots of the number of each type of well or facility in each state

CLASS 1,2,3,4,5TOT = sum of the square roots of the number of each type of well or facility in all participating states and territories

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 911 (1983).	Workload factor.
Land area. (AREA)	Census Bureau, Statistical Abstract of the United States, 1982-83," 103rd Edition.	Unit cost factor.
Number of wells (classes I to V). (CLASS 1 - 5)	EPA, agency-maintained inventory of injection wells (updated annually).	Workload factor.

Matching Requirements: Federal share cannot exceed 75 percent of the total program costs.

Maintenance of Effort Requirement: Yes.

Comments: In FY 1984 and prior years, the weights for the 5 well classes were determined by the logarithm of the number of wells in each class. Beginning in FY 1985, EPA and the states developed enough data to base the weights on the amount of work effort needed, in staff years, for each class of wells.

Pesticides Enforcement Program Grants (66.700A)

Program Objectives: To (a) assist states in developing and maintaining comprehensive pesticide enforcement programs, (b) sponsor cooperative surveillance, monitoring and analytical procedures, and (c) encourage regulatory activities within the States.

Federal Agency: Environmental Protection Agency, Office of Pesticides and Toxic Substances

Governing Authority: Public Laws or Acts: Federal Insecticide, Fungicide and Rodenticide Act, Public Law 92-516, Section 2, as amended (7 USC §§136 et seq.). Cooperative agreement provisions are found at 7 USC §136u. This program has continuous funding authorization.

Code of Federal Regulations: Allocation provisions are at 40 CFR 35.115(h).

Administrative Rule: Allocation and matching provisions are detailed in EPA's "FY 1985 FIFRA Cooperative Agreement Program Guidance," March 4, 1984.

Financial Information: Account Identification: 68-0108-0-1-304 Obligations: FY 83 $8,702,900; FY 84 $8,703,400; and FY 85 $9,703,400

Formula Narrative

Tentative allocations of funds are made by formula to states, territories and certain Indian tribes for planning purposes. Based on these tentative allocations, funds are aggregated and given to EPA regional offices which have the option of reallocating funds to states, territories and Indian tribes within their regions based on need.

There are two set asides before the formula is used: (1) Ten percent of the total appropriation is set aside for EPA regions for discretionary grants (1 percent for each region); and (2) A fixed minimum allocation is distributed as follows: $60,000 for each state, Puerto Rico, and the Navajos; $30,000 for the Virgin Islands; $15,000 each for American Samoa, the Marianas and the Trust Territories; $25,000 for Guam; $120,000 for Indian tribes in Region VIII, and $120,000 for Arizona Indian tribes.

Tentative allocation of the remaining funds is based on six weighted factors: population (20 percent), the number of farms (20 percent), farm acreage (10 percent), the number of pesticide-production plants (20 percent), the number of certified commercial applicators (20 percent), and the number of certified private applicators (10 percent).

Mathematical Structure:
STATE SHARE = .20*(POP/POPTOT) + .20*(FARM/FARMTOT) + .10*(ACRE/ACRETOT) + .20*(MANUF/MANUFTOT) + .20*(COMM/COMMTOT) + .10*(PRIV/PRIVTOT)

Definitions:
POP = state's population
POPTOT = population in all participating states
FARM = number of farms in a state
FARMTOT = total number of farms in states participating in the program
ACRE = farm acreage in a state
ACRETOT = farm acreage in participating states
MANUF = number of pesticide-producing manufacturing establishments in a state
MANUFTOT = total number of pesticide-producing manufacturing establishments in participating states
COMM = number of certified commercial applicators in a state
COMMTOT = total number of certified commercial applicators in all participating states
PRIV = number of certified private applicators in a state
PRIVTOT = total number of certified private applicators in all participating states

Data Sources (for FY 1985)

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," P-25 Series, No. 925.	Workload factor.
Number of farms. (FARM)	USDA, SRS, Crop Reporting Board; USDA Farm Numbers, updated annually (August 1983).	Workload factor.
Farm acreage. (ACRE)	USDA, SRS, Crop Reporting Board; USDA Farm Numbers, updated annually (August 1983).	Workload factor.
No. of pesticide producing manufacturing establishments. (MANUF)	EPA,FIFRA and TSCA Enforcement System, unpublished printout, updated annually (December 1983).	Workload factor.
No. of certified commercial applicators. (COMM)	EPA, unpublished database, updated annually, September 30, 1983.	Workload factor.
No. of certified private applicators. (PRIV)	EPA, unpublished database, updated annually, September 30, 1983.	Workload factor.

Matching Requirements: The federal share of the total project cost should not exceed 85 percent of the total award.

Maintenance of Effort Requirement: No.

Comments: None.

Pesticide Applicator Certification and Training Program (66.700B)

Program Objectives: To support (a) applicator certification and training programs, (b) more efficient allocation of resources through improved planning and management, and (c) improved program review and evaluation.

Federal Agency: Environmental Protection Agency, Office of Pesticides and Toxic Substances

Governing Authority: Public Laws or Acts: Federal Insecticide, Fungicide and Rodenticide Act, Public Law 92-516, Section 2, as amended (7 USC §§136 et seq.). Cooperative agreement provisions are found at 7 USC §136u. This program has continuous funding authorization.

Code of Federal Regulations: Allocation provisions are at 40 CFR 35.115(i).

Administrative Rule: Allocation and matching provisions are detailed in EPA's "FY 1985 FIFRA Cooperative Agreement Program Guidance," March 14, 1984.

Financial Information: Account Identification: 68-0108-0-1-304 Obligations: FY 83 $2,000,000; FY 84 $2,100,000; and FY 85 est $2,100,000

Formlula Narrative

Appropriated funds are distributed as follows: six percent is set aside for federally administered programs in Nebraska and Colorado. Of the remainder, 50 percent is allocated to the USDA Extension Service to support training activities. The other 50 percent is distributed to the states using three methods: base amounts, discretionary allotments through EPA regions, and formula allocations to states. The base amounts are: $15,000 each to 46 participating states, Puerto Rico, D.C., and Guam; $3,000 to the Virgin Islands; and $10,000 to Colorado. After the base amounts are subtracted, about 10 percent of the remainder is allotted to EPA regions to be distributed at their discretion. Ninety percent is allocated to states based on three weighted factors: (1) the number of farms (5/18), (2) the number of certified commercial applicators (7/18), and (3) the number of certified private applicators (6/18).

Mathematical Structure:
STATE SHARE = 5/18*(FARM/FARMTOT) + 7/18*(COMM/COMMTOT) + 6/18*(PRIV/PRIVTOT)

Definitions:
FARM = number of farms in a state
FARMTOT = total number of farms in states participating in the program
COMM = number of certified commercial applicators in a state
COMMTOT = total number of certified commercial applicators in all participating states
PRIV = number of certified private applicators in a state
PRIVTOT = total number of certified private applicators in all participating states

	Data Sources (for FY 1985)	
Data Element	Source	Data Element Type
Number of farms. (FARM)	USDA, SRS, Crop Reporting Board, USDA Farm Numbers, updated annually (August 1983).	Workload factor.
Number of certified commericial aplicators (COMM)	EPA; FIFRA and TSCA Enforcement System, unpublished data base, update annually (September 30, 1983).	Workload factor.
Number of certified private applicators. (PRIV)	EPA; FIFRA and TSCA Enforcement System, unpublished data base, updated annually (September 30, 1983.)	Workload factor.

Matching Requirements: The federal share of the total project cost shall not exceed 50 percent of the total award.

Maintenance of Effort Requirement: None.

Comments: None.

Hazardous Waste Management Financial Assistance to States (66.801)

Program Objectives: To assist state governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous wastes.

Federal Agency: Environmental Protection Agency, Office of Solid Waste and Emergency Response

Governing Authority: Public Laws or Acts: The Resource Conservation and Recovery Act of 1976, Public Law -580, as amended by the Solid Waste Disposal Act Amendments of 1980, Public Law 96-482, as amended (42 USC §§6901, et seq.). Allocation provisions are found at 42 USC §6931. Funding is authorized through September 30, 1988.

Code of Federal Regulations: Matching provisions are detailed at 40 CFR 35.505.

Administrative Rule: Allocation provision is in "FY 1984 RCRA Guidance," July 21, 1983.

Financial Information: Account Identification: 68-0108-0-1-304
Obligations: FY 83 $44,004,000; FY 84 $47,000,000; and FY 85 $46,885,111

Formula Narrative

States and territories receive a base grant and can receive a bonus for progress in establishing an EPA-authorized quality assurance programs (the interim and final authorizations ae divided into phases). Bonuses are computed first as follows: $0 for states not authorized by EPA to conduct a hazardous waste management program; 5 percent of prior year allocation (or $100,000 whichever is less) for states with Phase I authorization only; 10 percent of prior year allocation (or $175,000, whichever is less) for states with Phase I, IIA and IIB authorization; or 15 percent of prior year allocation (or $250,000, whichever is less) for states with Phase I, IIA, IIB and IIC authorization.

Base grants are made from remaining funds after the bonuses are allocated. Factors and weights used for allocation of the base grant include: (1) state population (20 percent), (2) number of hazardous waste management facilities in a state (50 percent), and (3) quantities of hazardous waste generated annually (30 percent). States will receive a minimum of .5 percent of the appropriated amount. No state's base grant will exceed, or be less than, 10 percent of the prior year's allotment.

Mathematical Structure:
STATE SHARE = .20*(POP/POPTOT) + .30*(WASTE/WASTETOT) + .50*(TSDF/TSDFTOT)

Definitions:
POP = population of state or territory
POPTOT = national population
WASTE = amount of hazardous waste generated in the state or territory
WASTETOT = amount of hazardous waste generated in all states and territories
TSDF = number of treatment, storage and disposal facilities (TSDFs) in a state or territory
TSDFTOT = total number of TSDFs in all states and territories

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," P-25 Series (1983).	Workload factor.
Amount of Hazardous Waste. (WASTE)	(1) EPA, "Hazardous Waste Generators and Commercial Hazardous Waste Management Capacity and (2) Census Bureau, 1977 Census of Manufactures, and Census of Agriculture, Wholesale Trade, Retail Trade and Service Industries.	Workload factor.
Number of Treatment, Storage and Disposal Facilities. (TSDF)	EPA/Hazardous Waste Data Management System, Part A permit applications submitted by treatment, storage and disposal facilities (April 1983)	Workload factor.

Matching Requirements: The federal share is up to 75 percent of the approved work program costs.

Maintenance of Effort Requirement: No.

Comments: The method of awarding authorization bonuses changed in 1986. Bonuses were made from a pool of $3.5 million as follows: a state will receive an amount equal to 10 percent of its prior year's base grant (or $250,000, whichever is less) if it received final authorization from EPA for its hazardous waste management program by January 31; 75 percent, if it receives final authorization between February 1 and March

31; and 5 percent, if authorized between April 1 and September 30. Funds are awarded until the pool is depleted.

Department of Energy

Source: Courtesy of the U.S. Department of Energy

State Energy Conservation (81.041)

Program Objectives: To promote the conservation of energy and reduce the rate of growth of energy demand by authorizing DOE to establish procedures and guidelines for the development and implementation of specific state energy conservation programs and to provide federal financial and technical assistance to states in support of such programs.

Federal Agency: Department of Energy, Office of Conservation and Renewable Energy

Governing Authority: Public Laws or Acts: Energy Policy and Conservation Act, Public Law 94-163, Title III, Part D[c], Sections 361-366, as amended (42 USC §§6321- 6326). Allocation provision found at 42 USC §6323(b)(3). Matching provisions are found at 42 USC §6323a. Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: Allocation provisions are in 10 CFR 420.3.

Administrative Rule: Allocation provisions are in 48 FR 39361 (1983).

Financial Information: Account Identification: 89-0203-0-1-270
Obligations: FY 83 $24,000,000; FY 84 $24,000,000; and FY 85 est $23,500,000

Formula Narrative

Allocations are made to states and territories. Approximately $200,000 is set aside for program administration at the federal level. The remainder is distributed as follows: (1) 25 percent equally to the states and territories; (2) 40 percent based on each participating state's share of the population for all participating states; and (3) 35 percent based on each state's share of annual projected energy savings (in BTUs) resulting from implementation of energy conservation plans in the nation.

Mathematical Structure:
STATE SHARE = .25*(1/N) + .40*(POP/POPTOT) + .35*(SAVE/SAVETOT)

Definitions:
N = number of participating states and territories
POP = state population
POPTOT = total population of all participating states

SAVE = annual projected energy savings resulting from implementation of energy conservation plans in a state
SAVETOT = annual projected energy savings in the U.S. resulting from the implementation of energy conservation plans

Data Sources

Data Element	Source	Data Element Type
Number of participating states. (N)	Determined by DOE.	Unit cost factor.
Population. (POP)	Census Bureau, "Population Estimates and Projections," P-25 Series (1983).	Workload factor.
Projected energy savings (in BTUs). (SAVE)	DOE, unpublished projections submitted by states in 1980 via DOE Form CE-462.	Incentive factor.

Matching Requirements: Federal funds will pay up to 80 percent of program costs.

Maintenance of Effort Requirement: No.

Comments: None.

Weatherization Assistance for Low-Income Persons (81.042)

Program Objectives: To insulate the dwellings of low-income persons, particularly the elderly and handicapped low-income, in order to conserve needed energy and to aid those persons least able to afford higher utility costs.

Federal Agency: Department of Energy, Office of Conservation and Renewable Energy

Governing Authority: Public Laws or Acts: Energy Conservation and Production Act, Public Law 94-385, as amended (42 USC §§6861-6873). Funding authorization expired September 30, 1985, however funds have been appropriated through September 30, 1987.

Code of Federal Regulations: Allocation provision found in 10 CFR 440.10.

Administrative Rule: Allocation provision in 49 FR 3631 (1984).

Financial Information: Account Identification: 89-0215-0-1-999
Obligations: FY 83 $243,000,000; FY 84 $190,000,000; and FY 85 est $190,000,000

Formula Narrative

Allocations are made to states. Up to 10 percent of the appropriation may be set aside for technical assistance and training before allocations are made. Each state then receives $100,000 (Alaska receives $200,000).

The remainder of the appropriation is distributed among states in proportion to: (1) A state's number of "heating degree days" squared, times the percentage of total residential energy used for space heating, plus (2) a state's number of "cooling degree days" squared, times the percentage of total residential energy used for cooling.

This total is then multiplied by the number of low-income owner-occupied dwellings in a state plus one-half the number of low-income renter-occupied dwellings in a state.

Mathematical Structure:
STATE SHARE = [[(HDD^{2}*HEATEXP) + (CDD^{2}*COOLEXP)] *
(OWN+.5RENT)]/SUM OF NUMERATOR

Definitions:
HDD^{2} = heating degree days squared for a state

HEATEXP = national percentage of total residential energy used for space heating (58.7 percent)
CDD^2 = cooling degree days squared for a state
COOLEXP = national percentage of total residential energy used for space cooling (3.3 percent)
OWN = number of owner-occupied dwelling units with low-income households in a state
RENT = number of renter-occupied dwelling units with low-income households in a state

Data Sources

Data Element	Source	Data Element Type
Heating and cooling degree days. (HDD, CDD)	NOAA, "State, Regional and National Monthly and Seasonal Heating/Cooling Degree Days Weighted by Population."	N/A.
Total residential energy usage. (HEATEXP, COOLEXP)	Unpublished survey, utilized since start-up of the program (1977).	N/A.
Owner- and renter-occupied units with low income households. (OWN, RENT)	Census Bureau, "Survey of Income and Education," based on 1975 data; "1980 Census of Population, Characteristics of Population," PC80-1-A1 (1982).	N/A

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: None.

Energy Extension Service (81.050)

Program Objectives: To encourage individuals and small establishments to reduce energy consumption and convert to alternative energy sources. To assist in building a credible, nonduplicative, state-planned and operated energy outreach program responsive to local needs.

Federal Agency: Department of Energy, Office of Conservation and Renewable Energy

Governing Authority: Public Laws or Acts: National Energy Extension Service Act, Public Law 95-39 (42 USC §§7001 et seq.). Allocation provisions are found at 42 USC §7010. Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Code of Federal Regulations: 10 CFR 465.5 details allocation and matching provisions.

Administrative Rule: Allocation and matching provisions are detailed in 48 FR 32726-32727 (1983).

Financial Information: Account Identification: 89-0203-0-1-270
Obligations: FY 83 $10,000,000; FY 84 $10,000,000; and FY 85 $9,600,000

Formula Narrative

Allocations are made to states and territories. Approximately $200,000 is set aside for program administration. The remainder of the appropriation is allocated as follows: (1) 50 percent equally among the states and territories, and (2) 50 percent based on each state and territories' proportionate share of the national population.

Mathematical Structure:
STATE SHARE = .50*(1/N) + .50*(POP/POPTOT)

Definitions:
N = number of participating states and territories
POP = state population
POPTOT = national population

Data Sources		
Data Element	**Source**	**Data Element Type**
Number of participating states. (N)	Determined by DOE.	Unit cost factor.
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25 (January 1983).	Workload factor.

Matching Requirements: Federal share is not to exceed 80 percent.

Maintenance of Effort Requirement: No.

Comments: None.

Energy Conservation for Institutional Buildings (81.052)

Program Objectives: To identify and implement energy conservation maintenance and operating procedures for schools, hospitals, units of local government, and public care institutions to adopt energy conservation measures to reduce consumption.

Federal Agency: Department of Energy, Office of Conservation and Renewable Energy

Governing Authority: Public Laws or Acts: National Energy Conservation Policy Act, Public Law 95-619, Title III, Part 1, Sections 302(a) (42 USC §6371 et seq.). Allocation provision found at 42 USC §6371g. Matching provision found at USC §6371e. Funding authorization expired September 30, 1986, but funds have been appropriated through September 30, 1987.

Financial Information: Account Identification: 89-0125-0-1-272 Obligations: FY 83 $102,000,000; FY 84 $48,584,000; and FY 85 est $47,043,000

Formula Narrative

Allocations are made to states and territories for use in institutional buildings. Eighty-three percent of the appropriation is distributed in proportion to a state's population, weighted by a state's average annual heating and cooling degree days. Ten percent is allocated based on a state's share of the average retail cost per million BTUs for all states, based on the average cost for the region in which that state is located. The remaining seven percent is divided equally among all eligible states and territories. No state will receive less than 0.5 percent, nor more than 10 percent, of total funds to be allocated. States may set aside up to 2 percent (or $30,000, whichever is less) for program administration.

Mathematical Structure:
STATE SHARE = .83*(POP*DAYS)/SUM OF NUMERATOR + .10*(COST/COSTTOT) +.07*(1/N)

Definitions:
POP = state population
DAYS = sum of the average annual heating degree days and cooling degree days in a state
COST = average retail cost per million BTUs of energy consumed for the region in which the state is located
COSTTOT = average retail cost per million BTUs of energy consumed for

all participating states and territories
N = number of participating states and territories

	Data Sources	
Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "1980 Census of Population, Number of Inhabitants," PC80-1-A1 (1982).	N/A.
Heating and cooling degree days. (DAYS)	NOAA, "State, Regional and National Monthly and Seasonal Heating/Cooling Degree Days, Weighted by Population."	N/A.
Retail costs of BTUs. (COST)	DOE, compiled in 1978.	N/A.
Number of participating states. (N)	Determined by DOE.	N/A.

Matching Requirements: Federal funds are 50 percent, except for projects that meet hardship criteria, where federal funds may comprise up to 90 percent of total funding.

Maintenance of Effort Requirement: Yes.

Comments: None.

Federal Emergency Management Agency

Source: Courtesy of the Federal Emergency Management Agency

State Flood Insurance Assistance Program (83.501)

Program Objectives: To facilitate each state's achievement of a level of expertise in flood hazard management which will enable the state to provide assistance to its constituent communities in discharging local flood hazard management responsibilities.

Federal Agency: Federal Emergency Management Agency, State and Local Programs and Support

Governing Authority: Public Laws or Acts: National Flood Insurance Act of 1968, Public Law 90-448, Title XIII, as amended, by the Flood Disaster Protection Act of 1973, Public Law 93-234, as amended (42 USC §§4001 et seq.). Funding authorization expired on September 30, 1985.

Code of Federal Regulations: Allocation provision found in 44 CFR 76.2(b)(1) and (2).

Administrative Rule: Allocation provisions found in 45 FR 79072 (1980).

Financial Information: Account Identification: 58-0101-0-1-999
Obligations: FY 83 $2,892,000; FY 84 $3,240,000; and FY 85 $3,240,000

Formula Narrative

Allocations are made to states, certain territories and the District of Columbia. $75,000 is set aside for the District of Columbia, Puerto Rico, Guam and the Virgin Islands and is divided based on each of these jurisdictions' share of population.

State allocations are determined by calculating each state's proportionate share of (1) population in special flood hazard areas; (2) the number of communities in a state that participate in the National Flood Insurance program, (3) increases in the number of households (1970-75); and (4) the historical dollar value of state flood damage (based on flood insurance claims). Each of the four factors are given equal weight. No state may receive more than $200,000.

Funds that would have been allocated to states in excess of $200,000 via the formula, funds allocated to states that choose not to participate, and funds from states that do not plan to spend their full allocation are placed in a supplemental fund for discretionary allocation for innovative projects.

Mathematical Structure:
STATE SHARE = .25*(FHPOP/FHPOPTOT) + .25*(COM/COMTOT) + .25*(IN/INTOT) + .25*(DAM/DAMTOT)

Definitions:
FHPOP = population in a state living in a designated special flood hazard area
FHPOPTOT = population in the U.S. living in a designated special flood hazard area
COM = number of communities in a state participating in the National Flood Insurance program
COMTOT = number of communities in the U.S. participating in the National Flood Insurance program
IN = increase in the number of households in a state, 1970-75
INTOT = increase in the number of household in the U.S., 1970-75
DAM = historical amount of flood damage in a state (as determined by flood insurance claims)
DAMTOT = historical amount of flood damage in the U.S. (as determined by flood insurance claims)

Data Sources		
Data Element	**Source**	**Data Element Type**
Population in special flood hazard areas. (FHPOP)	Census Bureau, "Population Estimates and Projections, Series P-25 (July 1983).	Workload factor.
Number of communities participating in the National Flood Insurance program (COM)	Federal Insurance Administration, special unpublished tabulation (FY 1982).	Incentive factor.
Increases in households. (IN)	Census Bureau, "Population Estimates and Projections," Series P-25 (1970-1975).	Workload factor.
Flood damage. (DAM)	Federal Insurance Administration, special tabulation of claims processed (FY 1982).	Workload factor.

Matching Requirements: Federal share is 75 percent of program costs.

Maintenance of Effort Requirement: Yes.

Comments: None.

Emergency Management Assistance (83.503)

Program Objectives: To develop effective civil defense organizations in the states and their political subdivisions in order to plan for and coordinate emergency activities in the event of attack or natural disaster.

Federal Agency: Federal Emergency Management Agency, State and Local Programs and Support

Governing Authority: Public Laws or Acts: Federal Civil Defense Act of 1950, Public Law 81-920, as amended (50 USC Appx. §2286). Allocation and matching provisions are found at 50 USC Appx. §2286. This program has continuous funding authorization.

Code of Federal Regulations: Allocation provision is found in 44 CFR 302.5. Matching provision is found in section 302.1.

Administrative Rule: 48 FR 44211 and 44214.

Financial Information: Account Identification: 58-0101-0-1-999
Obligations: FY 83 $49,000,000; FY 84 $53,766,424; and FY 85 $57,000,000

Formula Narrative

Allocations are made to states and territories. Two percent of the appropriation is set aside for certain territories and the director's supplemental fund. Five percent is allocated equally among the states, the District of Columbia and Puerto Rico. The remainder of the appropriation Is allocated based on each state's proportionate share of the following weighted factors: (1) total population (34 percent), (2) population in all participating local jurisdictions (10 percent), and (3) prior year allocation (51 Percent). The state agency must allocate approximately two-thirds of the state allotment to local agencies within the state.

Mathematical Structure:
STATE SHARE = .05*(1/N) + .34*(POP/POPTOT) + .10*(PROGPOP/PROGPOPTOT) + .51*(PRIOR/PRIORTOT)

Definitions:
N = number of participating states
POP = state population
POPTOT = national population
PRIOR = a state's prior year allocation
PRIORTOT = total amount allocated to states in prior year

PROGPOP = percentage of state population in program participating jurisdictions
PROGPOPTOT = percentage of U.S. population in program participating jurisdictions

	Data Sources	
Data Element	**Source**	**Data Element Type**
Number of participating states. (N)	Determined by FEMA.	Unit cost factor.
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25.	Workload factor.
Population in program participating jurisdictions. (PROGPOP)	Census Bureau, "Population Estimates and Projections," Series P-25 (grant applications contain names of jurisdictions; this information is used to extract correct Census data).	Workload factor.
Prior year's allotment. (PRIOR)	FEMA.	Workload factor.

Matching Requirements: Federal funds may not exceed 50 percent of program costs.

Maintenance of Effort Requirement: None.

Comments: The weights shown in the formula reflect the weights of the three factors shown used to allocate remaining funds after the 2 percent set aside and the 5 percent equal share allotments are made.

Department of Education

Source: Rick Brady/Uniphoto

Adult Education: State-Administered Program (84.002)

Program Objectives: To expand educational opportunities for adults and to encourage the establishment of programs of adult education that will enable them to acquire basic literacy skills necessary to function in society, to complete secondary school and to profit from employment related training.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education

Governing Authority: Public Laws or Acts: Adult Education Act, Public Law 89-750, as amended (20 USC §§1201 et seq.) Allocation provisions are found at 20 USC §1204. Matching provisions are found at 20 USC §1206. Funds are authorized through September 30, 1988.

Code of Federal Regulations: 34 CFR Parts 425 and 426. 34 CFR 426.40 contains matching provisions.

Financial Information: Account Identification: 91-0400-0-1-501
Obligations: FY 83 $95,569,000; FY 84 $99,754,735; and FY 85 $101,963,000

Formula Narrative

Allocations are made to states and territories. Not more than 1 percent is set aside for Guam, American Samoa, the Trust Territory of the Pacific Islands, the Northern Mariana Islands, and the Virgin Islands. A minimum allocation of $150,000 is then made to each state, the District of Columbia, and Puerto Rico. From the remainder the secretary allocates an amount to each state, the District of Columbia and Puerto Rico based on their share of the total number of adults, 16 years of age and over, who do not have a certificate of graduation from a school providing secondary education (or its equivalent) and who are not currently required to be enrolled in school.

Mathematical Structure:
STATE SHARE = POP16/POP16TOT

Definitions:
POP16 = population 16 years of age and over with less than a high school diploma.
POP16TOT = U.S. population 16 years of age and over with less than a high school diploma.

Data Sources		
Data Element	**Source**	**Data Element Type**
Population 16 years old and over with less than a high school diploma. (POP16)	Census Bureau, special tabulation based on the 1980 census.	Workload factor.

Matching Requirements: The matching requirement for each state is 10 percent nonfederal, except that no match is required for Guam, American Samoa, the Virgin Islands, the Northern Marianna Islands, and the Trust Territory of the Pacific Islands.

Maintenance of Effort Requirement: Yes.

Comments: Beginning in FY 1985, the formula's minimum allocations were changed. Each territory receives $100,000 and each state and Puerto Rico receive $250,000 apiece. The remainder is distributed via formula.

Education of Handicapped Children in State Operated or Supported Schools (84.009)

Program Objectives: To extend and improve comprehensive educational programs for handicapped children enrolled in state operated or state supported schools.

Federal Agency: Department of Education, Office of the Assistant Secretary for Special Education and Rehabilitative Services

Governing Authority: Public Laws or Acts: Education Consolidation and Improvement Act of 1981, Public Law 97-35, Title V, Subtitle D, as amended (20 USC §§3801-3808). Allocation provisions are found at 20 USC §2771, as specified in 20 USC §§3803. Funding is authorized through September 30, 1987.

Code of Federal Regulations: 34 CFR 302.40.

Financial Information: Account Identification: 91-0900-0-1-501
Obligations: FY 83 $146,520,000; FY 84 $146,520,000; and FY 85 $150,170,000

Formula Narrative

Allocations are made to states and territories. Each state's share is based on its proportionate share of all handicapped children (ranging in ages from birth to 21) in state operated or supported schools multiplied by 40 percent of its average per pupil expenditure, after expenditures are adjusted to no less than 80 percent nor more than 120 percent of the average U.S. per pupil expenditure.

Mathematical Structure:
STATE SHARE = [HPOP21 * (SHARE*EDEXP)]/SUM OF NUMERATOR

Definitions:
HPOP21 = number of handicapped children in average daily attendance, ages 0-21, in state operated or supported schools
SHARE = the federal reimbursement percentage is 40 percent.
EDEXP = adjusted estimated education expenditure per pupil in the state

Data Sources		
Data Element	**Source**	**Data Element Type**
Handicapped children in state operated or supported schools. (HPOP21)	ED, unpublished data provided annually by states.	Workload factor.
Reimbursement percentage. (SHARE)	Statutory, 20 USC 2771(b).	Cost sharing factor.
Education expenditures. (EDEXP)	ED, "Estimated Current Expenditures per Pupil in Average Daily Attendance," published annually.	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: State administrative costs are separately funded (see 84.012).

Educationally Deprived Children: Local Educational Agencies (84.010)

Program Objectives: To provide financial assistance to local educational agencies to meet the special needs of educationally deprived children.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Education Consolidation and Improvement Act of 1981, Public Law 97-35, Title V, Subtitle D, as amended (20 USC §§3801-3808). Allocation provisions found at 20 USC §2711, as specified in 20 USC §§3803. Funding is authorized through September 30, 1987.

Code of Federal Regulations: 34 CFR 200.

Financial Information: Account Identification: 91-0900-0-1-501
Obligations: FY 83 $2,727,587,568; FY 84 $3,003,680,000; and FY 85 $3,200,000,000

Formula Narrative

Grants are provided to local education agencies (LEAs) through their state education agencies. Total funding to be allocated is first divided into two "pots." Separate formulas are used to allocate the two funding pots to county areas within each state. An LEA recieves project funding from the two allotments established for the county area in which the LEA is located.

The first pot consists of one-half of the increase in authorizations since FY 1979 (about 13 percent of the total FY 1984 authorization). This pot is allocated in two tiers: first to state areas via a state formula, and then to county areas within each state via the county formula.

The second pot consists of the remaining funds (about 87 percent of the total FY 1984 authorizations) which are allocated directly to county areas nationwide via the county formula.

Both formulas allocate funds in proportion to the number of educationally deprived children and 40 percent of the average per pupil expenditures in a state. The state formula (which is used to allocate the first pot) defines "educationally deprived children" as children ages 5 to 17 in families below 50 percent of the median national income for 4-person families. The county formula (which is used to allocate both the first and second pots) defines "educationally deprived children" as children aged 5 to 17 who are (1) in families with incomes below the poverty level, based on the 1980 census, (2) in families above the poverty level receiving AFDC payments, (3) in foster homes supported with public funds, or (4) in local institutions for neglected or delinquent children which are not federally- or state-operated.

In both the state and county formulas, the number of educationally deprived children is multiplied by state per pupil educational expenditures. State or county shares are proportionate to the national share.

"State per pupil educational expenditures" are defined as spending from all sources (federal, state and local) with the following constraint: state per pupil expenditures cannot be less than 80 percent nor more than 120 percent of the U.S. average per pupil expenditure. This constraint is applied to the county formula that allocates funds in the second pot and it also applies to the state formula used in distributing the first pot. However, it does not apply to the county formula that allocates funds from state to county areas in the first pot. In addition, final county allotments (from both pots) are adjusted to insure that no county area allocation is less than 85 percent of the previous year's allotment.

Mathematical Structure:
Allocation of Pot 1 (among states)
STATE SHARE = [POV1 * (SHARE * EDEXP)]/ SUM OF NUMERATOR

(state share is divided among counties with a state)

COUNTY SHARE = [(POV2 + AFDC + FOSTER + OTHER) * (SHARE * EDEXP)]/SUM OF NUMERATOR

Allocation of Pot 2 (among all counties in U.S.)
COUNTY SHARE = [(POV2 + AFDC + FOSTER + OTHER) * (SHARE * EDEXP)]/SUM OF NUMERATOR

Definitions:
POV1 = number of children, aged 5-17, in families below 50 percent of the median national income for 4-person family in a state (from the 1975 survey of income and education)
SHARE = the federal reimbursement percentage is 40 percent
EDEXP = state's average per pupil educational expenditure
POV2 = number of children, aged 5-17, in families below the poverty level (from the 1980 census), in a county
AFDC = number of children in families receiving AFDC payments, who

are above the poverty level (for a non-farm family of four, updated by the consumer price index), in a county
FOSTER = number of children in foster homes supported with public funds, in a county
OTHER = number of children in institutions for the neglected and delinquent which are not federally- or state-operated, in a county

Data Sources

Data Element	Source	Data Element Type
Children in families below 50 percent of the median national income for a family of four. (POV1)	Census Bureau, "Survey of Income and Education," (1975).	Workload factor.
Reimbursement percentage. (SHARE)	Statutory; 20 USC 2771(a)(2)(A).	Cost sharing factor.
Average per pupil expenditure. (EDEXP)	Dept. of Education, "Average Daily Attendence, Current Expenditures and Exclusions for P.L. 89-10 Purposes," (1982).	Unit cost factor.
Children in families below the poverty level. (POV2)	Census Bureau, special tabulation of 1980 Census of Population data.	Workload factor.
Children in families receiving AFDC payments who have incomes above the poverty level. (AFDC)	HHS, "Annual Statistical Report on Children in Foster Homes and Children in Families Receiving AFDC Payments in Excess of the Poverty Income Level," (1982) , and BLS, Consumer Price Index (1983) which is used to update the poverty income level.	Workload factor.
Children in foster homes suppoprted with public funds. (FOSTER)	HHS, "Annual Statistical Report on Children in Foster Homes," (1983).	Workload factor.
Children in institutions for neglected and delinquent children which are not federally- or state-operated. (OTHER)	ED, "Annual Survey of Children in Institutions for Neglected and Delinquent Children or Children in Adult Correctional Institutions," (1983).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: State administrative costs are separately funded (see 84.012).

Migrant Education: Basic State Formula Grant Program (84.011)

Program Objectives: To establish and improve programs to meet the special educational needs of migratory children of migratory agricultural workers or of migratory fishermen.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Education Consolidation and Improvement Act of 1981, Public Law 97-35, Title V, Subtitle D as amended (20 USC §§3801-3808). Allocation provisions are found at 20 USC §2761, as specified in 20 USC §3803. Funding is authorized through September 30, 1987.

Code of Federal Regulations: Allocation provisions are in 34 CFR Parts 201.20-201.21 and 201.25.

Financial Information: Account Identification: 91-0900-0-1-501
Obligations: FY 83 $255,744,000; FY 84 $258,024,000; and FY 85 $262,524,000

Formula Narrative

Allocations are made to states and territories. Each state's share is based on the number of migratory school age children, multiplied by 40 percent of its average per pupil expenditure, after expenditures are adjusted to no less than 80 percent, nor more than 120 percent of the average U.S. per pupil expenditure. The Secretary adjusts the number of eligible children to reflect needs and costs for summer projects. (Puerto Rico receives its share under a separate allocation formula based on its average per pupil expenditure and the average U.S. per pupil expenditure.)

Mathematical Structure:
STATE SHARE = [MIG * (SHARE*EDEXP)]/SUM OF NUMERATOR

Definitions:
MIG = number of migratory school age children ages 5-17 in a state (full-time and full-time equivalents of part-time migratory school age children)
SHARE = the federal reimbursement percentage is 40 percent
EDEXP = adjusted state average current per pupil (in average daily attendance) education expenditure

Data Sources

Data Element	Source	Data Element Type
Number of migratory school age children (full and part-time). (MIG)	Arkansas State Dept. of Education, Migratory Student Record Transfer System, 1982.	Workload factor.
Reimbursement percentage. (SHARE)	Statutory; 20 USC 2761(b).	Cost sharing factor.
Average per pupil expenditure. (EDEXP)	Department of Education, "Estimated Current Expenditure Per Pupil in Average Daily Attendance," published annually.	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: State administrative costs are separately funded (see 84.012).

Educationally Deprived Children: State Administration (84.012)

Program Objectives: To provide financial assistance to enable state educational agencies to meet their administrative responsibilities under the Chapter 1 programs.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Education Consolidation and Improvement Act of 1981, Public Law 97-35, Title V, Subtitle D, as amended (20 USC §§3801-3808). Allocation provisions are found at 20 USC §2844, as specified in 20 USC §3803. Funding is authorized through September 30, 1987.

Code of Federal Regulations: Allocation provisions are found at 34 CFR 200-203.

Financial Information: Account Identification: 91-0900-0-1-501
Obligations: FY 83 $33,180,432; FY 84 $34,414,000; and FY 85 est $35,607,000

Formula Narrative

Payments are made to states and territories equal to the administrative expenses of federally assisted programs that meet special educational needs of children. These programs are: 84.009, 84.010, 84.011, and 84.013. Payments to each state and Puerto Rico cannot exceed 1 percent of the total amount of Chapter 1 funds allocated to that state. No state, however, receives a payment of less than $225,000. The remaining territories are guaranteed a $50,000 minimum.

Mathematical Structure:
STATE ALLOTMENT = ADMIN

Definitions:
ADMIN = amount expended to administer programs meeting special educational needs of children

Data Sources

Data Element	Source	Data Element Type
Compensatory education program grants for administrative costs. (ADMIN)	ED, National Center for Education Statistics, computations of Chapter 1 allocations for each program (1983).	Total program costs.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

Neglected and Delinquent Children (84.013)

Program Objectives: To provide financial assistance to state agencies to meet the special educational needs of institutionalized neglected or delinquent children for whom the state has responsibility.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Education Consolidation and Improvement Act of 1981, Public Law 97-35, Title V, Subtitle D, as amended (20 USC §§3801-3808). Allocation provisions are found at 20 USC §2781, as specified in 20 USC §3803. Funds are authorized through September 30, 1987.

Code of Federal Regulations: Allocation provisions are found in 34 CFR 203.3

Financial Information: Account Identification: 91-0900-0-1-501
Obligations: FY 83 $32,616,000; FY 84 $32,616,000; and FY 85 est $32,616,000

Formula Narrative

Allocations are made to states and Puerto Rico. The state share is its proportionate share that results from multiplying its average daily attendance of children in state schools operated for children in institutions for neglected and delinquent children (or children in adult correctional institutions) by 40 percent of the state's average per pupil expenditure, after its expenditures have been adjusted to not less than 80 percent, nor more than 120 percent, of the average national per pupil expenditure. (Puerto Rico receives its share under a separate allocation formula based on its average per pupil expenditure and the average U.S. per pupil expenditure.)

Mathematical Structure:
STATE SHARE = [NDCPOP * (SHARE*EDEXP)]/ SUM OF NUMERATOR

Definitions:
NDCPOP = state average daily attendance of children in schools operated or supported by a state agency for neglected and delinquent children (or children in adult correctional institutions)
SHARE = the federal reimbursement percentage is 40 percent
EDEXP = estimated state current education expenditures per pupil in average daily attendance

Data Sources

Data Element	Source	Data Element Type
Average daily attendance of children through grade 12 in state operated or supported schools. (NDCPOP)	ED, annual survey of children in institutions for neglected or delinquent children or children in adult correctional institutions, (school year 1982-83).	Workload factor.
Reimbursement percentage. (SHARE)	Statutory; 20 USC 2781(b).	Cost sharing factor.
Average per pupil expenditure. (EDEXP)	ED, National Center for Education Statistics, annual survey to collect data from states and D.C. (school year 1981-82).	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: State administrative costs are separately funded (see 84.012).

Education of the Handicapped: Basic State Grant (84.027A)

Program Objectives: To provide grants to states to assist them in providing a free appropriate public education to all handicapped children.

Federal Agency: Department of Education, Office of the Assistant Secretary for Special Education and Rehabilitative Services

Governing Authority: Public Laws or Acts: Education of the Handicapped Act, Public Law 91-230, Title VI, Part B, Sections 611-620 as amended; see also the Education for All Handicapped Children Act of 1975, Public Law 94-142 and the Education of the Handicapped Act Amendments of 1983, Public Law 98-199 (20 USC §§1411 et seq.). Allocation and matching provisions are found at 20 USC §1411. This program has continuous funding authorization.

Code of Federal Regulations: Allocation provisions are found in 34 CFR 300.701.

Financial Information: Account Identification: 91-0300-0-1-501
Obligations: FY 83 $908,674,000; FY 84 $1,082,180,000; and FY 85 $1,245,219,000

Formula Narrative

Allocations are made to states, territories and the Bureau of Indian Affairs. Territories and the Department of the Interior each receive up to 1 percent of the appropriation. The remainder of the funds are allocated to the states based on each state's share of the total number of handicapped children reported as receiving services in the U.S., ages 3-21. The number of handicapped children cannot exceed 12 percent of a state's total 5-17 year old population for purposes of calculating formula allotments. In addition, children covered by Chapter 2 handicapped programs (84.151) may not be counted for purposes of calculating formula allocations. Further, no state will receive less than its 1977 allotment amount.

Five percent of each state's allotment, or $350,000, whichever is greater, may be set aside for administrative costs. Up to 25 percent of the allotment may be retained to provide direct or support services by the state; at least 75 percent of the funds received must be passed through to local education agencies and other agencies serving children directly.

Mathematical Structure:
STATE SHARE = HPOP3-21/HPOP3-21TOT

Definitions:
HPOP3-21 = number of handicapped children in school in a state, ages 3-21
HPOP3-21TOT = number of handicapped children in school in the U.S., ages 3-21

Data Sources

Data Element	Source	Data Element Type
Handicapped children receiving special education and related services, ages 3-21. (HPOP3-21)	ED, unpublished annual statistics collected from state education agencies.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: None.

Education of the Handicapped: Preschool Incentive (84.027B)

Program Objectives: To encourage states to expand education programs for handicapped preschool children ages birth through 5.

Federal Agency: Department of Education, Office of the Assistant Secretary for Special Education and Rehabilitative Services

Governing Authority: Public Laws or Acts: Education of the Handicapped Act, Title VI, Part B, Sections 611-620 Public Law 91-230, as amended; see also Education for All Handicapped Children Act of 1975, Public Law 94-142 and Education of the Handicapped Act Amendments of 1983, Public Law 98-199 (20 USC §§1411 et seq.). Allocation provisions are found at 20 USC §1419. This program has continuous funding authorization.

Code of Federal Regulations: Allocation provisions are found in 34 CFR 301.6.

Financial Information: Account Identification: 91-0300-0-1-501
Obligations: FY 83 $18,302,000; FY 84 $32,064,000; and FY 85 $27,625,000

Formula Narrative

Allocations are made to states and territories. One percent of the total appropriation is set aside for territories. A state's allocation is determined by its proportion of the number of handicapped children in school, from ages 3 through 5.

Mathematical Structure:
$\text{STATE SHARE} = \text{HPOP3-5}/\text{HPOP3-5TOT}$

Definitions:
HPOP3-5 = number of handicapped children, ages 3-5, in a state
HPOP3-5TOT = number of handicapped children, ages 3-5 in U.S.

Data Sources

Data Element	Source	Data Element Type
Handicapped children served, ages 3 through 5. (HPOP3-5)	ED, unpublished annual statistics collected from state education agencies.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: None.

Library Services (84.034)

Program Objectives: (1) To establish, extend and improve public library services to meet the needs of geographic areas or groups of persons in a state who lack those services or for whom current services are inadequate; (2) to assist libraries to serve as community information referral centers; (3) to assist libraries in providing literacy programs; and (4) to strengthen the capacity of state library administrative agencies to meet the library needs of a state.

Federal Agency: Department of Education, Office of the Assistant Secretary for Educational Research and Improvement

Governing Authority: Public Laws or Acts: Library Services and Construction Act, Public Law 84-597, Title I, and the Library Services and Construction Amendments of 1970, Public Law 91-600, as amended (20 USC §§351 et seq.). Allocation provisions are found at 20 USC §351c. Matching provisions are found at 20 USC §351e(b). Funding is authorized through September 30, 1989.

Code of Federal Regulations: 34 CFR 770.

Financial Information: Account Identification: 91-0104-0-1-503
Obligations: FY 83 $60,000,000; FY 84 $65,000,000; and FY 85 $73,500,000

Formula Narrative (FY 1985)

Before allocations are made to states and territories, 1.5 percent of the appropriaton is set aside for library services for Indian tribes and 0.5 percent is set aside for organizations representing Hawaiian natives. Each state and Puerto Rico receives a minimum allocation of $200,000, and territories receive $40,000 each. The remainder is distributed based on each state and territory's proportionate share of the national population. The federal matching rate for this program varies based on state per capita income (see Matching Requirements).

Mathematical Structure:
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = national population

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25.	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (August 1982).	Fiscal capacity factor.

Matching Requirements: The federal matching rate varies based on state per capita income. The rate (which is established every two years) is 100 percent minus 50 percent times the 3-year average of a state's per capita income, as a ratio of national average per capita income. The matching rates have an upper constraint of 66 percent and a lower constraint of 33 percent, with the exception of the territories whose rate is fixed at 66 percent, and the Trust Territories of the Pacific Islands, which have a 100 percent rate.

Federal Matching Rate = 1-.5*(PCI/PCIUS); where PCI = per capita income in a state and PCIUS = national per capita income.

Maintenance of Effort Requirement: Yes.

Comments: None.

Interlibrary Cooperation and Resource Sharing (84.035)

Program Objectives: (1) To plan for, and take other steps leading to, the development of cooperative library networks, including the development of a statewide resource sharing plan; and (2) to establish, expand, or operate local, regional, or interstate cooperative library networks which provide for the coordination of the resources of school, public, academic, and special libraries and information centers.

Federal Agency: Department of Education, Office of Assistant Secretary for Educational Research and Improvement

Governing Authority: Public Laws or Acts: Library Services and Construction Act, Public Law 84-597, and the Library Services and Construction Amendments of 1970, Public Law 91-600, as amended (20 USC §§351 et seq.). The allocation provisions are found at 20 USC §351c. Matching provisions are found at 20 USC §355e-1(b). Funding is authorized through September 30, 1989.

Code of Federal Regulations: 34 CFR 770.

Financial Information: Account Identification: 91-0104-0-1-503 Obligations: FY 83 $11,520,000; FY 84 $15,000,000; and FY 85 est $17,640,000

Formula Narrative (FY 1985)

Before allocations are made to states and territories, 1.5 percent of the appropriation is set aside for library services for Indian tribes, and 0.5 percent is set aside for organizations representing Hawaiian natives. Each state and Puerto Rico receive a minimum allocation of $40,000, and territories receive $10,000 each. The remainder is distributed based on each state and territory's proportionate share of the national population.

Mathematical Structure:
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = national population

Data Sources		
Data Element	**Source**	**Data Element Type**
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: None.

School Assistance in Federally Affected Areas: Construction (84.040)

Program Objectives: To provide assistance for the construction of school facilities in school districts which have had: (1) substantial increases in school enrollment as a result of new or increased federal activities, (2) districts which educate substantial numbers of children residing on Indian lands or, (3) financially distressed districts unable to provide adequate facilities because of large areas of tax-exempt federal property.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: School Facilities-Areas Affected by Federal Activities, Public Law 81-815, as amended by an Act of August 12, 1958, Public Law 85-620, as amended (20 USC §§631-647). Allocation provisions are at 20 USC §635 and matching provisions are at 20 USC §634. Funding authorizations for certain provisions expire September 30, 1988. Other provisions have continuous funding authorization.

Code of Federal Regulations: 34 CFR 221.

Financial Information: Account Identification: 91-0102-0-1-501
Obligations: FY 83 $80,000,000; FY 84 $20,000,000; and FY 85 $20,000,000

Formula Narrative

Funds are awarded to local education agencies (LEAs) through a three step process: (1) eligibility determination, (2) the determination of the maximum grant each district may receive, and (3) approval of construction proposals.

An LEA may seek eligibility under 1 of 3 broad categories: (1) if students live and/or parents work on federal property or were on active military duty (Section 5), then the 4 year increase in these students must be at least 6 percent of the base year total average daily membership, or 1,500, (whichever is less); or (2) if parents work for a federally sponsored activity, then the 4 year increase in membership of these students must be at least 10 percent of the base year total average daily membership, or 2,500, (whichever is less); or (3) for certain classes of students such as Indians, a variety of standards apply.

The maximum grant an LEA may receive is based on three factors: (1) the estimated increase in the number of eligible students (6 different categories of students defined in law), (2) the average per pupil school construction costs (includes federal, state and local funds) for the state in which the school district is located, and (3) the share of these costs which the federal government pays (the federal share varies for each of the 6 categories of students; for example, the share is 100 percent for students who live on, and whose parents work on, federal property, 90 percent for students whose parents are employed on federal property, etc.)

Since actual appropriations are less than the amounts determined by formula, actual funding within this maximum is determined by ranking LEAs' applications for funds and funding the highest ranking proposals. Priorities for application review vary by the 6 student classifications. The priority criteria include such factors as relative need, the nature and extent of federal responsibility and the percentage of students lacking minimum school facilities.

The Department of Education may reserve up to 10 percent of funds appropriated for certain classes of applicants. In additon, certain classes of school districts, such as those that experienced emergencies or disasters, may be placed ahead of those districts on the priority list.

Mathematical Structure:
MAXIMUM LEA FUNDING = SHARE * STUPOP * EXPEND
(Note: allotments are the sum of allotments for each of six student categories)

Definintions:
SHARE = federal reimbursement percentage (varies from 40 to 100 percent for each of the 6 categories of eligible students)
STUPOP = the estimated increase in the number of eligible students in average daily attendence, over a 4 year period (6 categories of student are defined in law)
EXPEND = total school construction expenditures (federal, state and local) per student in average daily attendence in a state

Data Sources		
Data Element	**Source**	**Data Element Type**
Eligible student population. (STUPOP)	ED, unpublished annual survey of parents, conducted by school districts and submitted as part of their application for funds.	Workload factor.
Reimbursement percentage. (SHARE)	Statutory; 20 USC 635.	Cost sharing factor.
Average school construction expenditures for student. (EXPEND)	ED, unpublished biennial survey conducted by state education agencies.	Unit cost factor.

Matching Requirements: The federal contribution varies from 40 to 100 percent of program costs, depending on which of the 6 classifications of students under which an LEA applies for funds.

Maintenance of Effort Requirement: No.

Comments: The definition of minimum school facilities is established by each state and may therefore vary across states.

School Assistance in Federally Affected Areas: Maintenance and Operation (84.041)

Program Objectives: To assist local agencies in the education of children residing on federal lands, including Indian lands, and children whose parents are employed on federal property or in the Uniformed Services. To provide financial assistance to local educational agencies when enrollments or availability of revenue are adversely affected by federal activities, where the tax base of a district is reduced through the federal acquisition of real property, or where there is a sudden and substantial increase in school attendance as the result of federal activities. To provide major disaster assistance for replacing or repairing damaged or destroyed supplies, equipment, books, and for repairing minor damages to facilities.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Act of September 30, 1950, Public Law 81-874, as amended (20 USC §238). Funding is authorized through September 30, 1988.

Code of Federal Regulations: 34 CFR 222.

Administrative Rule: Memorandum #1, "Fiscal Year 1985 Funding for sections 2 and 3 of Public Law 81-874," November 27, 1984, and subsequent memoranda.

Financial Information: Account Identification: 91-0102-0-1-501
Obligations: FY 83 $460,200,000; FY 84 $580,300,000; and FY 85 $675,000,000

Formula Narrative (FY 1985)

Funds are allocated directly to local education agencies (school districts) under two parallel components. The first component is based on those students who live on "federal property" and whose parents work on federal property or are on active military duty. The second is for those who do not live on federal property or whose parents work on federal property. Reimbursement rates are higher for the first component, which comprised about 80 percent of total funding in FY 1984.

To be eligible, a school district must have at least 3 percent of its average daily attendence qualify as "federally connected children," or have at least 400 federally connected children for each program. For each component, school districts are divided into two groups: (1) those whose enrollment of "federally connected children" exceeds 20 percent of total enrollment, and (2) those whose enrollment is less than 20 percent.

For each of the two components, those districts with more than 20 percent are guaranteed their allotments; allotments in those districts with less than 20 percent are prorated if sufficient funding is not available.

The first component has 7 possible categories of students and the second has 8. School districts may qualify for funding under each of these 15 categories. The number of students in each category is multiplied by the average expenditure from local sources per pupil in average daily attendance. This yields an estimate of the local school districts's cost of educating "federally connected children" in each category. "Average per pupil expenditures" from local sources is defined as the highest of three measures: (1) one half of the national average of total per pupil expenditure (federal, state, and local), (2) one half of the state average of total per pupil expenditure (federal, state, and local), or (3) the average per pupil expenditure from local sources for "generally comparable districts" within a state (e.g., large, small, urban, rural, etc.). Federal allotments are then calculated by applying a federal matching rate (expressed as federal spending per dollar of local spending) to each of their student categories.

The federal matching rates for the 15 student categories are established in the authorizing legislation and modified periodically during the appropriations process in accordance with federal funding decisions.

Mathematical Structure:
SCHOOL DISTRICT ALLOTMENT = RATE * ADA * EXP
(Note: school district allotments are the sum of allotments made for up to 15 categories of "federally connected children")

Definitions:
RATE = federal matching rate (expressed as federal spending per dollar of local spending; rate varies for each of the 15 student categories)
ADA = average daily attendance (15 categories of "federally connected children")
EXP = average per pupil expenditure from local revenue sources (a district may select the highest of 3 different measures of average expenditures; see Formula Narrative)

Data Sources

Data Element	Source	Data Element Type
Federal match rate. (RATE)	Public Law 98-619 appropriations bill; (revised annually).	Cost sharing factor.
Average daily attendance (for each of 15 categories of students). (ADA)	ED, unpublished annual surveys of parents or employment/residential authorities conduct by local edcation agencies as part of their application for funds.	Workload factor.
Per pupil education expenditures from local sources. (EXP)	ED, unpublished annual surveys of local education agencies as provided to their respective state agencies (2 year lag in data used).	Unit cost factor.
State and national average per pupil expenditures, (includes federal, state and local funding sources). (EXP)	ED, unpublished annual surveys of state education agencies (2 year lag in data used).	Unit cost factor.

Matching Requirements: Application of the formula results in federal matching of local education expenditures (see RATE variable in the formula).

Maintenance of Effort Requirement: No.

Comments: If a district falls below the 3 percent or 400 student minimum, it will continue to be eligible for an additional 2 years. School districts with sudden increases in "federally-connected children" and those declared eligible for disaster relief are eligible for additional funds. In addition to the maintenance and operations program and the construction program (84.040), there is a small payment-in-lieu-of-taxes program for school districts with non-taxable federal property acquired since 1938, if the total acquisition comprises 10 percent or more of the total assessed valuation of the district, when acquired. This program can be used by school districts that qualify for impact aid as well as those districts that do not qualify for impact aid.

Vocational Education: Basic Grants to States (84.048)

Program Objectives: To expand, improve, modernize and develop quality vocational education programs to historically underserved populations, and to provide equal opportunity to all people.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education

Governing Authority: Public Laws or Acts: Vocational Education Act of 1963, Public Law 88-210, Title I, Part A, as added by the Education Amendments of 1976, Public Law 94-482, Title II (20 USC §§2330 et seq.). Allocation provisions were found at 20 USC §2303. These provisions were omitted in the general revision of the Vocational Education Act of 1963 by the Carl D. Perkins Vocational Education Act, Public Law 98-524, Section 1, in part, that added Title II, Part A, to that Act (20 USC §§2331 et seq.). New allocation provisions are found at 20 USC §§2311, 2312, and 2333. New matching provisions are found at 20 USC §2462. This program is authorized for funding through September 30, 1989.

Code of Federal Regulations: Matching provisions are detailed in 34 CFR 400.302 (1984).

Financial Information: Account Identification: 91-0400-0-1-501
Grant Awards: FY 83 $496,799,578; FY 84 $557,961,728; and FY 85 $577,633,429

Formula Narrative

Up to 5 percent of available funding is set aside for national programs and up to one percent of the remaining funds is set aside for distribution to Indian tribes. Allocations are made to states and territories based on three population age groups, each of which is multiplied by a per capita income adjustment factor (also known as an "allotment ratio"), and then weighted as follows: (1) population aged 15-19 (50 percent); (2) population aged 20-24 (20 percent); and (3) population aged 25-65 (15 percent). The average of the three preceding factors is also added and given a 15 percent weight (however the net effect of this is a re-weighting of the three age group factors to 55 percent, 25 percent and 20 percent, respectively). The allotment ratio is subject to a minimum of 40 percent and a maximum of 60 percent (the allotment ratios for territories is set at 60 percent).

Each state is guaranteed a hold harmless amount for its total vocational education allocation equal to its 1976 allocation, or a minimum allotment of $200,000, whichever is greater.

Mathematical Structure:
STATE SHARE =
.55 * [POP15-19 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.25 * [POP20-24 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.20 * [POP25-65 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR

Definitions:
POP15-19 = state population, ages 15-19
POP20-24 = state population, ages 20-24
POP25-65 = state population, ages 25-65
PCI = average per capita income of state
PCIUS = national average per capita income

Data Sources

Data Element	Source	Data Element Type
Population (ages 15-19, 20-24 and 25-65). (POP15-19, 20-24, 25-65)	Census Bureau, "Age, Sex, Race and Spanish Origin of Population by Regions, Divisions and States," Series PC80-51-1 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business, (3 year average of 1979, 1980 and 1981).	Fiscal capacity factor.

Matching Requirements: Federal funds pay 100 percent for certain benefit programs. The federal share is 50 percent for program improvement and supportive services for the handicapped, limited-English speakers, the disadvantaged and for state and local administration. No match is required by territories.

Maintenance of Effort Requirement: Yes.

Comments: This program is combined with four other vocational education programs (84.049, 84.050, 84.052 and 84.121) for purposes of calculating the minimum state allocation described in the Formula Narrative. However, after states receive their allotments, they must track the programs separately.

In FY 1985, the set asides and the minimum allocation provisons changed. Two percent of available funds are set aside for national programs and 1.5 percent for Indians and Hawaiian natives. Each state is guaranteed a hold harmless amount equal to its FY 1984 allotment. If appropriations exceed the FY 1984 amount, each state and Puerto Rico is guaranteed at least one half of 1 percent of the total; remaining territories are guaranteed a $200,000 minimum. However, no state or territory's allotment may increase by more than 150 percent from one year to the next as a result of this provision.

Vocational Education: Consumer and Homemaking Education (84.049)

Program Objectives: To assist states in conducting programs in consumer and homemaking education. Emphasis is placed on programs located in economically depressed areas or areas of high rates of unemployment.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education

Governing Authority: Public Laws or Acts: Vocational Education Act of 1963, Public Law 88-210, Title I, Part A, Subpart 5, Section 150, as added by the Education Amendments of 1976, Public Law 94-482, Title II, Section 202(a) (20 USC §2380). Allocation provisions were found at 20 USC §2303. Matching provisions were found at 20 USC §2380(c). 20 USC §2380 was omitted in the general revision of the Vocational Education Act of 1963 by the Carl D. Perkins Vocational Education Act, Public 98-524, Section 1, in part, which added Title III, Part B, Sections 311-313, as amended, to that Act (20 USC §§2361 et seq.). New allocation provisions are found at 20 USC §2311. New matching provisions are found at 20 USC §2462. Funds are authorized through September 30, 1989.

Code of Federal Regulations: Allocation provisions are at 34 CFR 400.901 (1984). Matching provisions are at 34 CFR 400.906 (1984).

Financial Information: Account Identification: 91-0400-0-1-501
Grant Awards: FY 83 $29,133,000; FY 84 $31,633,000; and FY 85 $31,633,000

Formula Narrative

Allocations are made to states and territories based on three population age groups, each of which is multiplied by a per capita income adjustment factor (also known as an "allotment ratio"), and then weighted as follows: (1) population aged 15-19 (50 percent); (2) population aged 20-24 (20 percent); and (3) population aged 25-65 (15 percent). The average of the three preceding factors is also added and given a 15 percent weight (however the net effect of this is a re-weighting of the three age group factors to 55 percent, 25 percent and 20 percent, respectively). The allotment ratio is subject to a minimum of 40 percent and a maximum of 60 percent (the allotment ratio for territories is set at 60 percent).

Through FY 1984, each state is guaranteed a hold harmless amount for its total vocational education allocation equal to its FY 1976 allotment, or a minimum allocation of $200,000, whichever is greater.

Mathematical Structure:
STATE SHARE =
.55 * [POP15-19 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.25 * [POP20-24 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.20 * [POP25-65 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR

Definitions:
POP15-19 = state population, ages 15-19
POP20-24 = state population, ages 20-24
POP25-65 = state population, ages 25-65
PCI = average per capita income of a state
PCIUS = national average per capita income

Data Sources

Data Element	Source	Data Element Type
Population (ages 15-19, 20-24 and 25-65). (POP15-19, 20-24, 25-65)	Census Bureau, "Age, Sex, Race and Spanish Origin of Population by Regions, Divisions and States," Series PC80-51-1 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirements: Federal funds will pay up to 50 percent of program and administrative costs, except that 90 percent may be paid for programs in economically depressed areas or areas with high rates of unemployment. Beginning in FY 1985, the matching requirement was dropped for program costs and remains at 50 percent for state and local administrative services.

Maintenance of Effort Requirement: Yes.

Comments: This program is combined with four other vocational education programs (84.048, 84.050, 84.052 and 84.121) for purposes of calculating the minimum state allocation described in the Formula Narrative. However, after states receive their allotments, they must track the programs separately.

In FY 1985, the set asides and the minimum allocation provisions changed. Two percent of available funds are set aside for national programs and 1.5 percent for Indians and Hawaiian natives. Each state is guaranteed a hold harmless amount equal to its FY 1984 allotment. If appropriations exceed the FY 1984 amount, each state and Puerto Rico is guaranteed at least one half of 1 percent of the total; remaining territories are guaranteed a $200,000 minimum. However, no state or territory's allotment may increase by more than 150 percent from one year to the next as a result of this provision.

Vocational Education: Program Improvement and Supportive Service (84.050)

Program Objectives: To assist the states in improving their programs of vocational education and in providing supportive services for such programs.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education

Governing Authority: Public Laws or Acts: Vocational Education Act of 1963, Public Law 88-210, Title I, Part A, as added by the Education Amendments of 1976, Public Law 94-482, Title II, as amended (20 USC §§2350 et seq.). Allocation provision was found at 20 USC §2303. These provisions were omitted in the general revision of the Vocational Education Act of 1963 by the Carl D. Perkins Vocational Education Act, Public Law 98-524, Section 1, in part, which added Title II, Part B, Sections 251 and 252 to that Act (20 USC §§2341 et seq.). New allocation provisions are found at 20 USC §2311. New matching provisions are found at 20 USC §2462. Funds are authorized through September 30, 1989; however, funds were not appropriated after September 30, 1985.

Code of Federal Regulations: Allocation provisions are found at 34 CFR 400.701 (1984). Matching provisions are found at 34 CFR 400.302 (1984).

Financial Information: Account Identification: 91-0400-0-1-501
Grant Awards: FY 83 $90,937,070; FY 84 $99,941,170; and FY 85 $99,941,170

Formula Narrative

Allocations were made to states and territories based on three population age groups, each of which is multiplied by a per capita income adjustment factor (also known as an "allotment ratio"), and then weighted as follows: (1) population aged 15-19 (50 percent); (2) population aged 20-24 (20 percent); and (3) population aged 25-65 (15 percent). The average of the three preceding factors was also added and given a 15 percent weight (however the net effect of this is a re-weighting of the three age group factors, to 55 percent, 25 percent and 20 percent, respectively). The allotment ratio was subject to a minimum of 40 percent and a maximum of 60 percent (the allotment ratio for territories is set at 60 percent).

Through FY 1984, each state was guaranteed a hold harmless amount for its total vocational education allotment equal to its 1976 allotment, or a minimum allocation of $200,000, whichever was greater.

Mathematical Structure:
STATE SHARE =
.55 * [POP15-19 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.25 * [POP20-24 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.20 * [POP25-65 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR

Definitions:
POP15-19 = state population, ages 15-19
POP20-24 = state population, ages 20-24
POP25-65 = state population, ages 25-65
PCI = average per capita income of a state
PCIUS = national average per capita income

Data Sources

Data Element	Source	Data Element Type
Population (ages 15-19, 20-24 and 25-65). (POP15-19, 20-24, 25-65)	Census Bureau, "Age, Sex, Race and Spanish Origin of Population by Regions, Divisions and States," Series PC80-51-1 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirements: Federal funds paid pay up to 50 percent of program costs.

Maintenance of Effort Requirement: Yes.

Comments: This program was combined with four other vocational education programs (84.048, 84.049, 84.052 and 84.121) for purposes of calculating the minimum state allocation described in the Formula Narrative. However, after states receive their allotments, they must track the programs separately.

Comments: In FY 1985, the set asides and the minimum allocation provisions changed. Two percent of available funds are set aside for national programs and 1.5 percent for Indians and Hawaiian natives. Each state is guaranteed a hold harmless amount equal to its FY 1984 allotment. If appropriations exceed the FY 1984 amount, each state and Puerto Rico is guaranteed at least one half of 1 percent of the total; remaining territories are guaranteed a $200,000 minimum. However, no state or territory's allotment may increase by more than 150 percent from one year to the next as a result of this provision.

Vocational Education: Special Programs for the Disadvantaged (84.052)

Program Objectives: To provide special vocational education programs for persons who have academic or economic handicaps and who require special services and assistance in order to enable them to succeed in vocational education programs.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education

Governing Authority: Public Laws or Acts: Vocational Education Act of 1963, Public Law 88-210, Title I, Part A, Subpart 4, Section 140, as added by the Education Amendments of 1976, Public Law 94-482, Title II, Section 202(a). This section was omitted in the general revision of the Vocational Education Act of 1963 by the Carl D. Perkins Vocational Education Act, Public Law 98-524, Section 1, in part, which added Title II, Part A, to that Act (20 USC §§2331 et seq.). New allocation provisions are at 20 USC §§2311 and 2333. New matching provisions are at 20 USC §2462. Allocation provisions were found at 20 USC §2303. Funds are authorized through September 30, 1989, through the Basic Grant to States (see 84.048).

Code of Federal Regulations: Matching requirements were found at 34 CFR 400.301 et seq.

Financial Information: Account Identification: 91-0400-0-1-501
Grant Awards: FY 83 $14,356,000; FY 84 $14,356,000; and FY 85 $14,356,000

Formula Narrative

Allocations were made to states and territories based on three population age groups, each of which was multiplied by a per capita income adjustment factor (also known as an "allotment ratio"), and then weighted as follows: (1) population aged 15-19 (50 percent); (2) population aged 20-24 (20 percent); and (3) population aged 25-65 (15 percent). The average of the three preceding factors was also added and given a 15 percent weight (however the net effect of this is a re-weighting of the three age group factors, to 55 percent, 25 percent and 20 percent, respectively). The allotment ratio was subject to a minimum of 40 percent and a maximum of 60 percent (the allotment ratio for territories is set at 60 percent).

Through fiscal year 1984, each state was guaranteed a hold harmless amount for its total vocational education allocation equal to its 1976 allotment, or a minimum allocation of $200,000, whichever was greater.

Mathematical Structure:

$$\begin{array}{l}\text{STATE SHARE} = \\ .55 * [\text{POP15-19} * (1 - .5(\text{PCI}/\text{PCIUS})]/\text{SUM OF NUMERATOR} + \\ .25 * [\text{POP20-24} * (1 - .5(\text{PCI}/\text{PCIUS})]/\text{SUM OF NUMERATOR} + \\ .20 * [\text{POP25-65} * (1 - .5(\text{PCI}/\text{PCIUS})]/\text{SUM OF NUMERATOR}\end{array}$$

Definitions:

POP15-19 = state population, ages 15-19
POP20-24 = state population, ages 20-24
POP25-65 = state population, ages 25-65
PCI = average per capita income of a state
PCIUS = national average per capita income

Data Sources

Data Element	Source	Data Element Type
Population (ages 15-19, 20-24 and 25-65). (POP15-19, 20-24, 25-65)	Census Bureau, "Age, Sex, Race and Spanish Origin of Population by Regions, Divisions and States," Series PC80-51-1 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirements: The federal share was up to 50 percent of program costs, except that up to 100 percent was allowed for programs in areas with high concentrations of youth unemployment or school dropouts.

Maintenance of Effort Requirement: Yes.

Comments: This program was related to four other vocational education programs (84.048, 84.049, 84.050 and 84.121) for purposes of calculating the minimum state allocation described in the Formula Narrative. However, after states receive their allotments, they must track the programs separately.

Vocational Education: State Councils (84.053)

Program Objectives: To advise the State Board for Vocational Education on the development and administration of state plans; evaluate vocational education programs, services, activities and publish and distribute the results; prepare and submit through the State Board to the Assistant Secretary and the National Advisory Council an annual evaluation report.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education.

Governing Authority: Public Laws or Acts: Vocational Education Act of 1963, Public Law 88-210, Title I, Part A, Subpart 1, Section 105, as added by the Education Amendments of 1976, Public Law 94-482, Title II, Section 202(a), as amended (20 USC §2305). Allocation provisions were found at 20 USC §2303. This provison was omitted in the general revision of the Vocational Education Act of 1963 by the Carl D. Perkins Vocational Education Act, Public Law 98-524, Section 1, in part, which added Title I, Part B, Section 5112 to that Act (20 USC §2322). New allocation provisions are found at 20 USC §§2322(f) and 2311. New matching provisions are found at 20 USC §2462. Funds are authorized through September 30, 1989.

Code of Federal Regulations: 34 CFR 400.91 et seq.

Financial Information: Account Identification: 91-0400-0-1-501
Grant Awards: FY 83 $6,500,000; FY 84 $6,500,000; and FY 85 $7,000,000

Formula Narrative

Allocations are made to states and territories based on three population age groups, each of which is multiplied by a per capita income adjustment factor (also known as an "allotment ratio"), and then weighted as follows: (1) population aged 15-19 (50 percent); (2) population aged 20-24 (20 percent); and (3) population aged 25-65 (15 percent). The average of the three preceding factors is also added and given a 15 percent weight (however the net effect of this is a re-weighting of the three age group factors, to 55 percent, 25 percent and 20 percent, respectively). The allocation ratio is subject to a minimum of 40 percent and a maximum of 60 percent (the allotment ratio for territories is set at 60 percent). In addition, each state's allotment in school year 1983-84 could not exceed $200,000, nor be less than $94,000.

Mathematical Structure:

STATE SHARE =
.55 * [POP15-19 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.25 * [POP20-24 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.20 * [POP25-65 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR

Definitions:

POP15-19 = state population, ages 15-19
POP20-24 = state population, ages 20-24
POP25-65 = state population, ages 25-65
PCI = average per capita income in a state
PCIUS = national average per capita income

	Data Sources	
Data Element	**Source**	**Data Element Type**
Population (ages 15-19, 20-24 and 25-65). (POP15-19, 20-24, 25-65)	Census Bureau, "Age, Sex, Race and Spanish Origin of Population by Regions, Divisions and States," Series PC80-51-1 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: In FY 1985, the minimum allocation was revised to $120,000, and the maximum was set at $225,000.

Indian Education: Formula Grants to Local Educational Agencies and Tribal Schools (84.060)

Program Objectives: To develop and carry out elementary and secondary school programs designed to meet the special educational and culturally related academic needs of Indian children, for example to: 1) increase academic performance with special emphasis on basic skills, 2) reduce dropout rates and improve attendance, and 3) increase the relevance of academic offerings by the schools to the cultural heritage of Indian children.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Act of September 30, 1950, Public Law 81-874, as added by the Indian Education Act, Public Law 92-318, as amended (20 USC §§241aa-241ff). Allocation provisions are found at 20 USC §241bb. Funding is authorized through September 30, 1989.

Code of Federal Regulations: Allocation provisions are found at 34 CFR 251.30.

Financial Information: Account Identification: 91-0101-0-1-501
Obligations FY 83 $44,031,321; FY 84 $46,400,000; and FY 85 est $45,913,000

Formula Narrative

Allocations are made directly to local education agencies (LEAs) and certain Indian tribal schools. Each LEA's share is based on the total eligible enrollment of Indian children in the LEA multiplied by the average per pupil expenditure for all LEAs in the state.

Mathematical Structure:
STATE SHARE = (INDPOP * EDEXP)/SUM OF NUMERATOR

Definitions:
INDPOP = number of Indian children for which an LEA or tribal school provides free public education
EDEXP = average per pupil expenditure of all LEAs in a state

Data Sources

Data Element	Source	Data Element Type
Number of eligible Indian children. (INDPOP)	ED, certifications in LEA grant applications updated annually.	Workload factor.
Average per pupil expenditure. (EDEXP)	ED, National Center for Education Statistics, unpublished state per pupil expenditure data for 1981 (updated annually).	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: Eligibility is limited to local education agencies that have at least 10 eligible Indian children or for whom eligible Indian children constitute at least 50 percent of total enrollment. However, this enrollment requirement does not apply to LEAs in Alaska, California or Oklahoma, or LEAs located on, or in proximity to, an Indian reservation.

Grants to States for State Student Incentives (84.069)

Program Objectives: To make incentive grants to the states to develop and expand assistance to students having substantial financial need in attendance at institutions of postsecondary education.

Federal Agency: Department of Education, Office of the Assistant Secretary for Postsecondary Education

Governing Authority: Public Laws or Acts: Higher Education Act of 1965, Public Law 89-329, Title IV, Part A, Subpart B, Section 415A-415D, as added by the Education Amendments of 1972, Public Law 92-318, Title I-D, Section 131(b)(1), as amended (20 USC §§1070c, et seq.). The allocation provisions are found at 20 USC §1070c-1(a)(1)(A). Matching provisions are found at 20 USC §1070c-2(b). Funding is authorized through September 30, 1991.

Code of Federal Regulations: Matching provisions are found at 34 CFR 692.21.

Financial Information: Account Identification: 91-0200-0-1-502
Obligations: FY 83 $60,000,000; FY 84 $76,000,000; FY 85 $76,000,000

Formula Narrative

Allocations are made to states and territories. The appropriation is distributed based on each state's percentage share of students enrolled in institutions of higher education. However, no state will receive less than its FY 1979 allotment (whenever appropriations are less than for FY 1979, funds are allocated among states using the same ratios used in FY 1979).

Mathematical Structure:
STATE SHARE = STUDENT/STUDENTTOT

Definitions:
STUDENT = students enrolled in institutions of higher education in a state
STUDENTTOT = total number of students enrolled in institutions of higher education in the U.S.

Data Sources

Data Element	Source	Data Element Type
Students enrolled in institutions of higher education. (STUDENT)	ED, "Opening Fall Enrollment in Higher Education, Table 21," (1977).	Workload factor.

Matching Requirements: The federal share is 50 percent.

Maintenance of Effort Requirement: Yes.

Comments: None.

Vocational Education: State Planning and Evaluation (84.121)

Program Objectives: To assist states in fulfilling federally mandated planning and evaluation requirements.

Federal Agency: Department of Education, Office of the Assistant Secretary for Vocational and Adult Education

Governing Authority: Public Laws or Acts: Vocational Education Act of 1963, Public Law 88-210, Title I, Part A, Subpart 1, Sections 106-109, as added by the Education Amendments of 1976, Public Law 94-482, Title II, Section 202(a), as amended (20 USC §2305). Allocation provisions were found at 20 USC §§2306-2309. These provisions were omitted in the general revision of the Vocational Education Act of 1963 by the Carl D. Perkins Vocational Education Act, Public Law 98-524, Section 1, in part, which added Title I, Part B, Sections 111-114 to that Act (20 USC §§2321 et seq.). New allocation provisions are found at 20 USC §2311. New matching provisions are found at 20 USC §2462. Funding is authorized through September 30, 1989; however, funds were not appropriated after September 30, 1985.

Code of Federal Regulations: Matching provisions are found at 34 CFR 400.306 (1984).

Financial Information: Account Identification: 91-0400-0-1-501
Grant Awards: FY 83 $3,588,000; FY 84 $3,588,000; and FY 85 $3,588,000.

Formula Narrative

Allocations were made to states and territories based on three population age groups, each of which was multiplied by a per capita income adjustment factor (also known as an "allotment ratio"), and then weighted as follows: (1) population aged 15-19 (50 percent); (2) population aged 20-24 (20 percent); and (3) population aged 25-65 (15 percent). The average of the three preceding factors was also added and given a 15 percent weight (however, the net effect of this is a re-weighting of the three age group factors, to 55 percent, 25 percent and 20 percent, respectively). The allotment ratio was subject to a minimum of 40 percent and a maximum of 60 percent (the allotment ratio for territories is set at 60 percent).

Through FY 1984, each state was guaranteed a hold harmless amount for its total vocational education allocation equal to its 1976 allotment, or a minimum allocation of $200,000, whichever was greater.

Mathematical Structure:
STATE SHARE =
.55 * [POP15-19 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.25 * [POP20-24 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR +
.20 * [POP25-65 * (1 - .5(PCI/PCIUS)]/SUM OF NUMERATOR

Definitions:
POP15-19 = state population, ages 15-19
POP20-24 = state population, ages 20-24
POP25-65 = state population, ages 25-65
PCI = average per capita income of a state
PCIUS = national average per capita income

	Data Sources	
Data Element	**Source**	**Data Element Type**
Population (ages 15-19, 20-24 and 25-65). (POP15-19, 20-24, 25-65)	Census Bureau, "Age, Sex, Race and Spanish Origin of Population by Regions, Divisions and States," Series PC80-51-1 (1982).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirements: The federal share of state administrative expenditures is up to 50 percent.

Maintenance of Effort Requirement: Yes.

Comments: This program was combined with four other vocational education programs (84.048, 84.049, 84.050 and 84.052) for purposes of calculating the minimum state allocation described in the Formula Narrative. However, after states receive their allotments, they must track the programs separately.

In FY 85 this function is funded through funds earmarked for state administrative expenses.

Rehabilitation Services: Basic Support (84.126)

Program Objectives: To provide vocational rehabilitation services to persons with mental and/or physical handicaps. Priority service is focused on needs of those persons with the most severe disabilities.

Federal Agency: Department of Education, Office of Assistant Secretary for Special Education and Rehabilitative Services

Governing Authority: Public Laws or Acts: Rehabilitation Act of 1973, Public Law 93-112, as amended; see also the Rehabilitation, Comprehensive Services, and Developmental Disabilities Amendments of 1978, Public Law 95-602 and the Rehabilitation Amendments of 1984, Public Law 98-221 (29 USC §701 et seq.). Allocation provisions found at 29 USC §§707, 720, 730 and 731. Funding is authorized through September 30, 1991.

Financial Information: Account Identification: 91-0301-0-1-506
Obligations: FY 83 $943,900,000; FY 84 $1,037,800,000; and FY 85 est $1,100,000,000

Formula Narrative

Allocations are made to state rehabilitation agencies. Each state's basic allotment is an amount equal to their FY 1978 allocation (about 73 percent of the total amount allotted). The remainder of the funds are distributed based on two factors: (1) each state's share of population, multiplied by a per capita income adjustment factor (called an allotment percentage), and (2) population multiplied by the square of the allotment percentage. The allotment percentage cannot exceed 75 percent, nor be less than 33.3 percent. Each state is guaranteed a minimum of $3 million, or 1/3 of 1 percent of the total appropriation, whichever is greater.

Mathematical Structure:
STATE SHARE =
[.5 * (POP*(1 - .5(PCI/PCIUS))]/SUM OF NUMERATOR +
[.5 * (POP*(1 - .5(PCI/PCIUS)^2)]/SUM OF NUMERATOR

Definitions:
POP = state population
PCI = a state's three-year average of per capita personal income
PCIUS = a three-year average of the national per capital personal income

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 925 (February 1983).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirement: Federal funds provide 80 percent of costs.

Maintenance of Effort Requirement: Yes.

Comments: None.

Transition Program for Refugee Children (84.146)

Program Objectives: To provide financial assistance to state and local educational agencies to meet the special educational needs of eligible refugee children enrolled in elementary and secondary schools.

Federal Agency: Department of Education, Office of Bilingual Education and Minority Languages Affairs

Governing Authority: Public Laws or Acts: Immigration and Nationality Act, Public Law 82-414, Title IV, Chapter 2, as added by the Refugee Act of 1980, Public Law 96-212, Title III, Part B, as amended (8 USC §§1522 to 1524). Allocation provisions are found at 8 USC §1522(d) and §1522 note. Funding was authorized through September 30, 1983. It is funded via a continuing resolution until September 30, 1988.

Code of Federal Regulations: Allocation provisions are found at 34 CFR 538.30 and 538.31.

Financial Information: Account Identification: 91-0101-0-1-501
Obligations: FY 83 $16,600,000; FY 84 $16,600,000; and FY 85 $16,600,000

Formula Narrative

Allocations are made to state education agencies based on the number of refugee children and their length of residence in the U.S. Each state's share is based on its proportion of the total of the following five cost-weighted population factors: (1) a weight of 10 is assigned to each eligible elementary school age refugee child who has been in the U.S. for one year or less; (2) a weight of 3 is assigned to each elementary school refugee child who has been in the U.S. between one and two years; (3) a weight of 10 is assigned to each high school refugee child who has been in the U.S. for one year or less; (4) a weight of 5 is assigned to each high school refugee child who has been in the U.S. between one and two years; and (5) a weight of 3 is assigned to each high school refugee child who has been in the U.S. between two and three years. This sum is prorated to conform to the amount of funds available for distribution.

States may set aside up to one percent of their allocation for administrative costs and technical assistance.

Mathematical Structure:
STATE SHARE = (COST1*POP1 + COST2*POP2 + COST3*POP3 + COST4*POP4 + COST5*POP5)/SUM OF NUMERATOR

Definitions:

POP1 = number of elementary school refugee children in a state for 0-1 years
POP2 = number of elementary school refugee children in a state for 1-2 years
POP3 = number of high school refugee children in a state for 1 year or less
POP4 = number of high school refugee children in a state for 1-2 years
POP5 = number of high school refugee children in a state for 2-3 years
COST1-5 = 10, 3, 10, 5, 3 respectively for each of the 5 refugee categories.

Data Sources		
Data Element	**Source**	**Data Element Type**
Refugee children. (POP1 - 5)	ED, unpublished information collected annually from state departments of education.	Workload factor.
Cost weight. (COST1 - 5)	Regulation; see 48 FR 21629.	Unit cost factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: The Secretary may annually increase or decrease weighting factors established by regulation by one or two points to respond to changing needs of eligible children.

Improving School Programs: State Block Grants (84.151)

Program Objectives: To assist state and local education agencies to improve elementary and secondary education.

Federal Agency: Department of Education, Office of the Assistant Secretary for Elementary and Secondary Education

Governing Authority: Public Laws or Acts: Education Consolidation and Improvement Act of 1981, as added by the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, Title V, Subtitle D, Chapter 2, as amended (20 USC §§3811 et seq.). Allocation provisions are found at 20 USC §§3813-3815. Funds are authorized through September 30, 1987.

Code of Federal Regulations: Allocation provisions are found at 34 CFR Part 298.

Financial Information: Account Identification: 91-1000-0-1-501
Obligations: FY 83 $479,420,000; FY 84 $479,420,000, and FY 85 $531,909,000

Formula Narrative

Allocations are made to states and territories. One percent of the total appropriation may be set aside for territories. An additional 6 percent may be set aside for discretionary purposes. The balance is allocated to states based on each state's share of the national population aged 5-17. Each state may reserve up to 20 percent of its allotment for program administration and for other specified purposes. The balance must be distributed to local school districts on the basis of a formula developed by each state in accordance with criteria approved by the Department of Education. No state's share may be less than one-half a percent of the total appropriations.

Mathematical Structure:
STATE SHARE = POP5-17/POP5-17TOT

Definitions:
POP5-17 = population in a state, ages 5-17
POP5-17TOT = population in U.S., ages 5-17

Data Sources		
Data Element	**Source**	**Data Element Type**
School age population (ages 5-17). (POP5-17)	Census Bureau, "Population Estimates and Projections," Series P-25.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: Yes.

Comments: Consolidated 38 elementary and secondary education programs into a single authorization. The goal is to reduce paperwork and assign responsibility for the design and implementation of programs to local educational agencies.

Public Library Construction (84.154)

Program Objectives: (1) To assist in the construction of new public library buildings and acquisition, expansion, remodeling and alteration of existing buildings, including the initial equipment for either a new or expanded building; (2) to assist in meeting the standards of the Architectuaral Barriers Act of 1968 relating to access for the handicapped; (3) to assist in remodeling designed to conserve energy; (4) to assist in renovation or remodeling to accommodate new technologies; and (5) to assist in the purchase of existing historic buildings for conversion to public libraries.

Federal Agency: Department of Education, Office of the Assistant Secretary for Education Research and Improvement

Governing Authority: Public Laws or Acts: Library Services and Construction Act, Public Law 84-597, Title II, and the Library Services and Construction Amendements of 1970, Public Law 91-600, as amended (20 USC §§351 et seq.). Allocation provisions are found at 20 USC §351c. Funding is authorized through September 30, 1989.

Code of Federal Regulations: Matching provisions found in 34 CFR 770.35 (1983).

Financial Information: Account Identification: 91-0104-0-1-503
Obligations: FY 83 $50,000,000; FY 84 $0; and FY 85 $24,500,000

Formula Narrative (FY 1985)

Before allocations are made to states and territories, 1.5 percent of the appropriation is set aside for library services for Indian tribes, and 0.5 percent is set aside for organizations representing Hawaiian natives. Each state and Puerto Rico receive a minimum allocation of $100,000, and territories receive $20,000 each. The remainder is distributed based on each state and territory's proportionate share of the national population. The federal matching rate for this program varies based on state per capita income (see Matching Requirements).

Mathematical Structure: (FY 1985)
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = national population

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25 (1981).	Workload factor.
Per capita income. (PCI)	BEA, "Personal Income by States and Regions for Selected Years," Survey of Current Business (3 year average of 1979,1980 and 1981).	Fiscal capacity factor.

Matching Requirements: The federal matching rate varies based on state per capita income. The rate (which is established every two years) is 100 percent minus 50 percent times the 3-year average of a state's per capita income, as a ratio of national average per capita income. The matching rates have an upper constraint of 66 percent and a lower constraint of 33 percent, with the exception of the territories whose rate is fixed at 66 percent, and the Trust Territories of the Pacific Islands, which have a 100 percent rate.

Federal Matching Rate = 1-.50*(PCI/PCIUS); where PCI = per capita income in a state and PCIUS = national per capita income.

Maintenance of Effort Requirement: None.

Comments: The Emergency Jobs Appropriations Act (Public Law 98-8) appropriated the $50,000,000 allocated in fiscal year 1983. One-half was distributed using the formula, and the other half on the basis of the relative number of unemployed individuals in a state.

Client Assistance for Handicapped Individuals (84.161)

Program Objectives: (1) To provide assistance in informing and advising clients and client applicants of available benefits under the Rehabilitation Act; (2) to assist them in their relationship with projects, programs and facilities providing services to them and to ensure the protection of individual rights under this Act.

Federal Agency: Department of Education, Office of the Assistant Secretary for Special Education and Rehabilitative Services

Governing Authority: Public Laws or Acts: Rehabilitation Act of 1973, Public Law 93-112, Title I, Part B, Section 112, as amended by the Rehabilitation Amendments of 1984, Public Law 98-221, Title I, Part A, Section 113(a) (29 USC §732). Allocation provisions are found at 29 USC §732(e). Funds are authorized through September 30, 1991.

Code of Federal Regulations: 34 CFR 370.1 et seq.

Financial Information: Account Identification: 91-0301-0-1-506
Obligations: FY 84 $6,000,000; and FY 85 est $6,300,000

Formula Narrative (FY 1985)

Allocations are made to states based each state's share of the national population. However, no state will receive less than $50,000. Territories receive $30,000 each.

Mathematical Structure:
STATE SHARE = POP/POPTOT

Definitions:
POP = state population
POPTOT = total population

Data Sources

Data Element	Source	Data Element Type
Population. (POP)	Census Bureau, "Population Estimates and Projections," Series P-25, No. 927 (February 1983).	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: This program was converted from a discretionary to a formula grant program in 1984. The first formula grants were awarded in September 1984.

Department of Education

Emergency Immigrant Education Assistance (84.162)

Program Objectives: To provide assistance to states for educational services and costs for immigrant children enrolled in elementary and secondary public and non-public schools.

Federal Agency: Department of Education, Office of Bilingual Education and Minority Languages Affairs

Governing Authority: Public Laws or Acts: Education Amendments of 1984, Public Law 98-511, Title VI, Section 601-609 (20 USC §§4101 et seq.). Allocation provisions are found at 20 USC §4105. Funds are authorized through September 30, 1989.

Administrative Rule: Allocation provisions are detailed in 34 CFR 581.20.

Financial Information: Account Identification: 91-1600-0-1-501
Obligations: FY 83 $0; FY 84 $30,000,000; and FY 85 $30,000,000

Formula Narrative

Allocations are made to states. States provide funding to those local educational agencies (LEAs) whose enrollment of immigrant children in elementary and secondary public and non-public schools is at least 500 or five percent of the total enrollment in FY 1984 (changed to 3 percent in FY 1985).

Each state is entitled to receive an amount equal to the number of immigrant children reported by the state multiplied by $500. This amount is subject to reductions based on the amount of funds made available to the state under other federal programs with the same purpose of serving children eligible under this program (see 84.011) and based on the availability of funds. A state may use up to 1.5 percent of its award for administrative costs. The remaining funds are to be distributed to local school districts based on their reported counts of immigrant children.

Mathematical Structure:
STATE SHARE = (COST*IMPOP)/SUM OF NUMERATOR

Definitions:
COST = $500
IMPOP = total reported number of immigrant children in a state's schools

Data Sources		
Data Element	**Source**	**Data Element Type**
Level of funding per eligible immigrant child. (COST)	20 USC §4105(b)(1)(B).	Unit cost factor.
Immigrant children in school. (IMPOP)	ED, unpublished annual reports submitted by state departments of education.	Workload factor.

Matching Requirements: None.

Maintenance of Effort Requirement: No.

Comments: Florida must deduct its Cuban-Haitian education award in addition to its refugee education awards.

Appendix I

Formula Grant Programs, Ranked by Size in Dollars

Dollars in millions

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
13.714	Medicaid	$19,600.0
13.808	Aid to Families with Dependent Children	7,700.0
21.300	General Revenue Sharing	4,566.7
20.205A	Highway Planning and Construction: Interstate System Construction	3,640.2
10.555	National School Lunch Program	3,012.7
84.010	Educationally Deprived Children: Local Educational Agencies	2,969.3
13.667	Social Services Block Grant	2,700.0
66.418	Construction Grants for Wastewater Treatment Works	2,400.0
14.218	Community Development Block Grants: Entitlement Grants	2,379.9
20.205B	Highway Planning and Construction: Interstate 4R Program	2,364.1
20.205C	Highway Planning and Construction: Primary System	2,100.0
13.818	Low-Income Home Energy Assistance Block Grant	2,072.7
17.250A	Job Training Partnership Act Title II-A: Basic Program	1,886.2
20.507A	Urban Mass Transportation Capital and Operating Assistance Formula Grants: Large Urban Areas	1,722.9
17.225	Unemployment Insurance: State Administrative Costs	1,536.3
20.205G	Highway Planning and Construction: Bridge Replacement and Rehabilitation	1,428.5
10.557A	Special Supplemental Food Program for Women, Infants, and Children (WIC)	1,412.8
14.850	Public and Indian Housing	1,202.9
84.027A	Education of the Handicapped: Basic Grant	1,068.8
84.126	Rehabilitation Services: Basic Support	1,037.8
14.219	Community Development Block Grants: Small Cities Program (HUD and State-Administered)	1,019.9
13.600	Head Start Program	841.9
17.250B	Job Training Partnership Act, Title II-B: Summer Youth Program	824.5
20.205E	Highway Planning and Construction: Urban System	788.0
17.207	Employment Service Administration	740.4
20.205D	Highway Planning and Construction: Rural Secondary System	640.3
84.048	Vocational Education: Basic Grants to States	558.0
84.041	School Assistance in Federally Affected Areas: Maintenance and Operation	555.0
14.221	Urban Development Action Grants	528.0
20.205K	Highway Planning and Construction: Interstate Highway Substitution	519.7
13.679	Child Support Enforcement Administrative Costs	490.3
13.658	Foster Care: Title IV-E	478.5
13.992	Alcohol, Drug Abuse, and Mental Health Block Grant	462.0
10.550A	Food Distribution: Child Nutrition	456.7
84.151	Improving School Programs: State Block Grants	450.7
20.106A	Airport Improvement Program: Primary Airport Apportionments	399.0
13.635	Older Americans Programs: Nutrition Services	388.1
10.558	Child Care Food Program	378.1

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
10.553	School Breakfast Program	$372.6
13.814C	Refugee and Entrant Assistance: Maintenance and Medical Assistance	357.1
13.994	Maternal and Child Health Block Grant	339.2
17.235	Senior Community Service Employment Program	319.5
13.665	Community Services Block Grant	316.7
14.156	Lower Income Housing Assistance Program	289.0
10.557B	Special Supplemental Food Program for Women, Infants and Children: Administrative Costs	282.6
84.011	Migrant Education: Basic State Formula Grant Program	258.0
13.646	Work Incentive Program	256.7
13.633B	Older Americans Programs: Supportive Services	250.9
10.665	Schools and Roads: Grants to States	224.9
20.205I	Highway Planning and Construction: Hazard Elimination	198.0
20.205J	Highway Planning and Construction: Rail-Highway Crossings	188.1
81.042	Weatherization Assistance for Low-Income Persons	187.0
17.246	Employment and Training Assistance: Dislocated Workers	167.2
13.645	Child Welfare Services: State Grants	165.0
10.203	Payments to Agricultural Experiment Stations Under Hatch Act	152.3
14.230	Rental Housing Rehabilitation	149.0
84.009	Education of Handicapped Children in State Operated or Supported Schools	146.5
10.550B	Food Distribution: Elderly Feeding	117.9
10.559	Summer Food Program for Children	105.5
20.600	State and Community Highway Safety	99.9
84.050	Vocational Education: Program Improvement and Supportive Service	99.9
84.002	Adult Education: State-Administered Program	95.0
20.106B	Airport Improvement Program: State Apportionments	94.0
13.991	Preventive Health and Health Services Block Grant	87.1
10.418	Water and Waste Disposal Systems for Rural Communities	81.0
84.069	Grants to States for Student Incentives	76.0
20.507B	Urban Mass Transportation Capital and Operating Assistance Formula Grants: Small Urban Areas	74.0
15.916	Land and Water Conservation Fund	72.9
20.509	Public Transportation for Nonurbanized Areas	69.9
13.814A	Refugee and Entrant Assistance: Social Services	66.9
84.034	Library Services	65.0
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs	60.2
17.247	Migrant and Seasonal Farmworkers	60.0
17.801	Disabled Veterans Outreach Program	59.5
81.052	Energy Conservation for Institutional Buildings	58.7
16.573	Justice Block Grant Funds to States	55.5
83.503	Emergency Management Assistance	55.0

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
66.419	Water Pollution Control: State and Interstate Program Grants	$54.2
17.804	Local Veterans Employment Representative Program	49.3
20.205F	Highway Planning and Construction: Urban Transportation Planning	49.3
10.568	Temporary Emergency Food Assistance Administrative Costs	49.1
66.801	Hazardous Waste Management Financial Assistance to States	46.9
84.060	Indian Education: Formula Grants to Local Educational Agencies and Tribal Schools	46.4
10.560	State Administrative Expenses for Child Nutrition	45.3
20.505	Urban Mass Transportation Technical Studies Grants	45.0
13.630A	Developmental Disabilities: Basic Grants	43.8
16.540	Juvenile Justice and Delinquency Prevention: Allocation to States	42.9
10.427	Rural Rental Assistance Payments	42.0
64.015	Veterans State Nursing Home Care	39.2
13.294	Health Planning: Health Systems Agencies	37.4
14.550	Solar Energy and Engery Conservation Bank	36.0
84.012	Educationally Deprived Children: State Administration	34.4
15.605	Fish Restoration	33.7
84.013	Neglected and Delinquent Children	32.6
84.049	Vocational Education: Consumer and Homemaking Education	31.6
10.475	Cooperative Agreements with States for Intrastate Meat and Poultry Inspection	31.4
84.162	Immigrant Education	30.0
64.016	Veterans State Hospital Care	27.0
13.659	Adoption Assistance	26.7
66.432	State Public Water System Supervision Program Grants	26.3
84.027B	Education of the Handicapped Preschool Incentive	26.3
20.999	Transp. Services for Elderly and Handicapped Persons: Capital Assistance Program	26.2
15.130	Indian Education: Assistance to Schools	26.0
84.154	Public Library Construction	25.0
45.007	Promotion of the Arts: State Programs	23.8
81.041	State Energy Conservation	23.6
13.633A	Older Americans Programs: Administrative Expenses	21.7
15.904	Historic Preservation	21.5
11.419	Coastal Zone Management Program Administration	21.0
84.040	School Assistance in Federally Affected Areas: Construction	20.0
13.293	State Health Planning and Development Agencies	19.0
10.556	Special Milk Program for Children	18.6
45.129	Promotion of the Humanities: State Programs	18.3
13.623	Runaway Youth Program	18.1
11.307	Special Economic Development and Adjustment Assistance Program: Long-Term Economic Deterioration	17.8

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
84.146	Transition Program for Refugee Children	$16.6
15.611B	Hunter Safety and Education	15.4
84.035	Interlibrary Cooperation and Resource Sharing	15.0
84.052	Vocational Education: Special Programs for the Disadvantaged	14.4
10.202	Cooperative Forestry Research	12.7
20.308	Local Rail Service Assistance	12.5
20.005	Boating Safety Financial Assistance	11.9
64.014	Veterans State Domiciliary Care	11.0
81.050	Energy Extension Service	10.0
20.205H	Highway Planning and Construction: Highway Safety Programs	9.9
13.630B	Developmental Disabilities: Protection and Advocacy of Individual Rights	8.4
20.218	Motor Carrier Safety Assistance Program	8.0
23.008	Appalachian Local Access Roads	8.0
66.700A	Pesticide Enforcement Program Grants	7.8
66.433	State Underground Water Source Protection: Program Grants	7.5
11.421	Coastal Energy Impact Program: Formula Grants	7.0
11.422	Coastal Energy Impact Program: Planning Grants	7.0
13.628	Child Abuse and Neglect: Prevention and Treatment	6.7
84.053	Vocational Education: State Councils	6.5
84.161	Client Assistance for Handicapped Individuals	6.0
10.564	Nutrition Education and Training Program	5.0
11.407	Commercial Fisheries Research and Development	4.0
84.121	Vocational Education: State Planning and Evaluation	3.6
20.700	Gas Pipeline Safety	3.5
83.501	State Flood Insurance Assistance Program	3.2
15.611A	Wildlife Restoration	3.0
66.700B	Pesticide Applicator Certification and Training Program	1.0
Total	**Number of Programs: 142**	**$84,948.1**

Formula Grant Programs, Arranged by Budget Function

The budget functional classification code used by the Office of Management and Budget is used to group grants by major budget areas. These budget codes, shown in the left margin, are taken from the last three digits of the budget account identification number in the President's budget.

Dollars in millions

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
270 Energy		
14.550	Solar Energy and Energy Conservation Bank	$36.0
81.041	State Energy Conservation	23.6
81.050	Energy Extension Service	10.0
81.052	Energy Conservation for Institutional Buildings	58.7
300 Natural Resources and Environment		
11.407	Commercial Fisheries Research and Development	4.0
11.419	Coastal Zone Management Program Administration	21.0
15.605	Fish Restoration	33.7
15.611A	Wildlife Restoration	3.0
15.611B	Hunter Safety and Education	15.4
15.904	Historic Preservation	21.5
15.916	Land and Water Conservation Fund	72.9
66.418	Construction Grants for Wastewater Treatment Works	2,400.0
66.419	Water Pollution Control: State and Interstate Program Grants	54.2
66.432	State Public Water System Supervision Program Grants	26.3
66.433	State Underground Water Source Protection: Program Grants	7.5
66.700A	Pesticide Enforcement Program Grants	7.8
66.700B	Pesticide Applicator Certification and Training Program	1.0
66.801	Hazardous Waste Management Financial Assistance to States	46.9
350 Agriculture		
10.202	Cooperative Forestry Research	12.7
10.203	Payments to Agricultural Experiment Stations Under Hatch Act	152.3
10.568	Temporary Emergency Food Assistance Administrative Costs	49.1

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
400 Transportation		
20.005	Boating Safety Financial Assistance	$11.9
20.106A	Airport Improvement Program: Primary Airport Apportionments	399.0
20.106B	Airport Improvement Program: State Apportionments	94.0
20.205A	Highway Planning and Construction: Interstate System Construction	3,640.2
20.205B	Highway Planning and Construction: Interstate 4R Program	2,364.1
20.205C	Highway Planning and Construction: Primary System	2,100.0
20.205D	Highway Planning and Construction: Rural Secondary System	640.3
20.205E	Highway Planning and Construction: Urban System	788.0
20.205F	Highway Planning and Construction: Urban Transportation Planning	49.3
20.205G	Highway Planning and Construction: Bridge Replacement and Rehabilitation	1,428.5
20.205H	Highway Planning and Construction: Highway Safety Programs	9.9
20.205I	Highway Planning and Construction: Hazard Elimination	198.0
20.205J	Highway Planning and Construction: Rail-Highway Crossings	188.1
20.205K	Highway Planning and Construction: Interstate Highway Substitution	519.7
20.218	Motor Carrier Safety Assistance Program	8.0
20.308	Local Rail Service Assistance	12.5
20.505	Urban Mass Transportation Technical Studies Grants	45.0
20.507A	Urban Mass Transportation Capital and Operating Assistance: Large Urban Areas	1,722.9
20.507B	Urban Mass Transportation Capital and Operating Assistance: Small Urban Areas	74.0
20.509	Public Transportation for Non-urbanized Areas	69.9
20.600	State and Community Highway Safety	99.9
20.700	Gas Pipeline Safety	3.5
20.999	Transportation Services for Elderly and Handicapped Persons: Capital Assistance Program	26.2

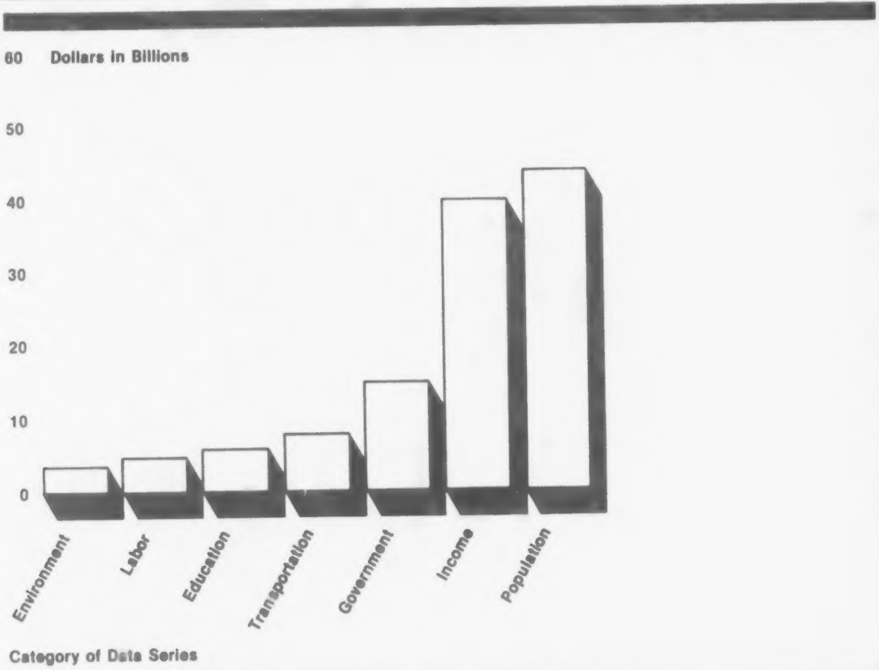
CFDA Number	Title of Formula Grant Program	FY 1984 Funding
450 Community and Regional Development		
10.418	Water and Waste Disposal Systems for Rural Communities	$81.0
11.307	Economic Development and Adjustment Assistance: Long-Term Deterioration	17.8
11.421	Coastal Energy Impact Program: Formula Grants	7.0
11.422	Coastal Energy Impact Program: Planning Grants	7.0
14.218	Community Development Block Grants: Entitlement Grants	2,379.9
14.219	Community Development Block Grants: Small Cities Program (HUD and State-Administered)	1,019.9
14.221	Urban Development Action Grants	528.0
14.230	Rental Housing Rehabilitation	149.0
23.008	Appalachian Local Access Roads	8.0
500 Education, Training, Employment, and Social Services		
13.600	Head Start Program	841.9
13.623	Runaway Youth Program	18.1
13.628	Child Abuse and Neglect Prevention and Treatment	6.7
13.630A	Developmental Disabilities: Basic Grants	43.8
13.630B	Developmental Disabilities: Protection and Advocacy of Individual Rights	8.4
13.633A	Older Americans Programs: Administrative Expenses	21.7
13.633B	Older Americans Programs: Supportive Services	250.9
13.635	Older Americans Programs: Nutrition Services	388.1
13.645	Child Welfare Services: State Grants	165.0
13.646	Work Incentive Program	256.7
13.658	Foster Care: Title IV-E	478.5
13.659	Adoption Assistance	26.7
13.665	Community Services Block Grant	316.7
13.667	Social Services Block Grant	2,700.0
15.130	Indian Education: Assistance to Schools	26.0
17.207	Employment Service Administration	740.4
17.235	Senior Community Service Employment Program	319.5
17.246	Employment and Training Assistance Dislocated Workers	167.2
17.247	Migrant and Seasonal Farmworkers	60.0
17.250A	Job Training Partnership Act, Title II-A: Basic Program	1,886.2
17.250B	Job Training Partnership Act, Title II-B: Summer Youth Program	824.5

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
45.007	Promotion of the Arts: State Programs	$23.8
45.129	Promotion of the Humanities: State Programs	18.3
84.002	Adult Education: State-Administered Program	95.0
84.009	Education of Handicapped Children in State Schools	146.5
84.010	Educationally Deprived Children: Local Educational Agencies	2,969.3
84.011	Migrant Education: Basic State Formula Grant Program	258.0
84.012	Educationally Deprived Children: State Administration	34.4
84.013	Neglected and Delinquent Children	32.6
84.027A	Education of the Handicapped: Basic Grant	1,068.8
84.027B	Education of the Handicapped: Preschool Incentive	26.3
84.034	Library Services	65.0
84.035	Interlibrary Cooperation and Resource Sharing	15.0
84.040	School Assistance in Federally Affected Areas: Construction	20.0
84.041	School Assistance in Federally Affected Areas: Maintenance and Operation	555.0
84.048	Vocational Education: Basic Grants to States	558.0
84.049	Vocational Education: Consumer and Homemaking Education	31.6
84.050	Vocational Education: Program Improvement and Supportive Service	99.9
84.052	Vocational Education: Special Programs for the Disadvantaged	14.4
84.053	Vocational Education: State Councils	6.5
84.060	Indian Education: Local Educational Agencies and Tribal Schools	46.4
84.069	Grants to States for Student Incentives	76.0
84.121	Vocational Education: State Planning and Evaluation	3.6
84.126	Rehabilitation Services: Basic Support	1,037.8
84.146	Transition Program for Refugee Children	16.6
84.151	Improving School Programs: State Block Grants	450.7
84.154	Public Library Construction	25.0
84.161	Client Assistance for Handicapped Individuals	6.0
84.162	Immigrant Education	30.0
550 Health		
10.475	Cooperative Intrastate Meat and Poultry Inspection	31.4
13.293	State Health Planning and Development Agencies	19.0
13.294	Health Planning: Health Systems Agencies	37.4
13.714	Medicaid	19,600.0
13.991	Preventive Health and Health Services Block Grant	87.1
13.992	Alcohol, Drug Abuse, and Mental Health Block Grant	462.0
13.994	Maternal and Child Health Block Grant	339.2

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
600 Income Security		
10.427	Rural Rental Assistance Payments	$42.0
10.550A	Food Distribution: Child Nutrition	456.7
10.550B	Food Distribution: Elderly Feeding	117.9
10.553	School Breakfast Program	372.6
10.555	National School Lunch Program	3,012.7
10.556	Special Milk Program for Children	18.6
10.557A	Supplemental Food Program: Women,Infants, and Children (WIC)	1,412.8
10.557B	Supplemental Food Program: Women,Infants, and Children Administrative Costs	282.6
10.558	Child Care Food Program	378.1
10.559	Summer Food Program for Children	105.5
10.560	State Administrative Expenses for Child Nutrition	45.3
10.564	Nutrition Education and Training Program	5.0
13.679	Child Support Enforcement Administrative Costs	490.3
13.808	Aid to Families with Dependent Children	7,700.0
13.814A	Refugee and Entrant Assistance: Social Services	66.9
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs	60.2
13.814C	Refugee and Entrant Assistance: Maintenance and Medical Assistance	357.1
13.818	Low-Income Home Energy Assistance Block Grant	2,072.7
14.156	Lower Income Housing Assistance Program	289.0
14.850	Public and Indian Housing	1,202.9
17.225	Unemployment Insurance State Administrative Costs	1,536.3
700 Veterans Benefits and Services		
64.014	Veterans State Domiciliary Care	11.0
64.015	Veterans State Nursing Home Care	39.2
64.016	Veterans State Hospital Care	27.0
750 Administration of Justice		
16.540	Juvenile Justice and Delinquency Prevention: Allocation to States	42.9
16.573	Justice Block Grant Funds to States	55.5

CFDA Number	Title of Formula Grant Program	FY 1984 Funding
850 General Purpose Fiscal Assistance		
10.665	Schools and Roads: Grants to States	$224.9
21.300	General Revenue Sharing	4,566.7
999 Multiple Functions		
17.801	Disabled Veterans Outreach Program	59.5
17.804	Local Veterans Employment Representative Program	49.3
81.042	Weatherization Assistance for Low-Income Persons	187.0
83.501	State Flood Insurance Assistance Program	3.2
83.503	Emergency Management Assistance	55.0

Figure III.1: Dollar Allocations Influenced by the Use of Selected Statistical Data Series, Fiscal Year 1984[a]



[a]Since formulas often use more than one statistical data series, dollars in this figure are counted more than once. Therefore, if summed, the total of all categories will exceed the $84.9 billion distributed through formula grants. In this table, only 7 of the 13 major categories of statistical data series are shown.

A variety of subcategories of population statistics is used in formulas. The most common is the total population of a state or local area. These statistical data series are taken from either the decennial census or the annual estimates of population computed by the Census Bureau (one or the other is used in a total of 42 formulas). The next two most frequently used subcategories of population statistics (18 formulas) divide population by various age groups, such as those data used in formulas targeted to preschool children or those targeted to the elderly and the population below the poverty line. Other population-based types of statistical data series used in formulas include urban, rural, farm, handicapped, and immigrant populations.

Of the various forms of income-related statistics used, 22 formulas use per capita income figures provided by the Bureau of Economic Analysis. Other subcategories of income-related statistics include median family income and wage levels. The category of government statistics, which is the third most significant category of statistical data, includes subcategories such as state and local taxes, government expenditures, and salary levels of government employees.

The four remaining major types of statistical data in the table encompass a wide variety of subcategories. For example, environmental statistical data include land area (13 formulas), miles of coast line, volume of oil and gas production, size of water systems, and environmental conditions or hazards. The education statistical series includes data on school enrollment and per pupil expenditures. The labor statistical data series includes the number of unemployed and the size of the civilian labor force. The transportation statistical data series includes the number of miles of highways and rail systems.

Timeliness of Statistical Data Series

About two-thirds of the statistical data used in formulas are updated at least every 2 years, as shown in table III.1. About 17 percent are updated decennially as part of the census. About 12 percent are not updated at all. The remainder, about 5 percent, were not updated consistently, or we could not determine the frequency of the updating.

Table III.1: Frequency With Which Data Series Used in Formula Grants Were Updated for Programs in Fiscal Year 1984 (Based on Responses From Agency Officials)

Frequency of Updates for Data	Number of Statistical Data Series	Percent of Statistical Data Series
Monthly	19	4.8
Quarterly	29	7.3
Semiannually	2	0.5
Annually	198	49.7
Biennially	15	3.8
Subtotal	**263**	**66.1**
Five years	1	0.3
Ten years (every Census period)	66	16.6
Other/Indeterminate	22	5.5
Not updated	46	11.6
Subtotal	**135**	**33.9**
Total	**398**	**100.0**

The timeliness of statistical data used in formulas is an issue of concern, especially in cases where the objective of a program is to reflect existing needs of the population served. Agency officials told us that about 12 percent of the data elements used in the various formulas are not updated at all.

374B

For example, state and interstate water pollution control grants (66.419) use 1967 Census Bureau data (to determine the number of industrial waste water discharge sites) and 1972 data from the Department of Agriculture (on the number of cattle feedlots in each state). These data elements have not been revised since the program was created in 1973.

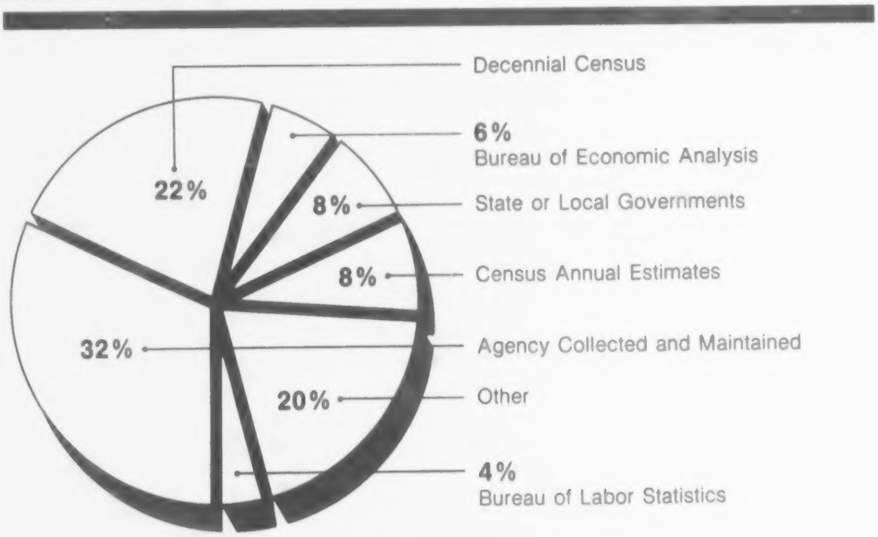
There are several reasons for infrequent updates or the lack of updates. In some cases, certain statistical data series, such as the condition of housing data used in the lower income housing assistance program (14.156), are collected only during the decennial census, and no interim estimates are made. In other cases, the data factors are specified in legislation, and are not updated. For example, the Department of Agriculture's nutrition education and training grant (10.564) relies on a one-time survey conducted in 1976-77 for one data factor which must be used to allocate funds.

For those programs where the data elements are specified in the statute, agency officials in 62 percent of the cases said they had no discretion in the selection of the data series to be used or the time period that the data elements covered. Only 26 percent said they had some discretion over the source and time period of the data.

Most Data From Published Sources

Of the 398 statistical data series in our survey, about 57 percent are data derived from published sources and the remainder from unpublished sources. The two most common sources for published or unpublished data were those collected directly by an agency and those collected by the Census Bureau (see figure III.2). Other key sources were data collected by state or local government, the Bureau of Economic Analysis, and the Bureau of Labor Statistics.

Figure III.2: Sources of Statistical Data Series Used in Formulas, Fiscal Year 1984



The 13 major categories of statistical series and their sources, used in formula grants reported in the catalog, are grouped in table III.2. Note that a formula grant may use more than one data series, and the title of the formula grant may appear more than once in the table, depending on the series and sources of data. The following are the 13 major categories of data:

Population: includes series such as total population, population by age, race, density, urban, rural, farm, handicapped, immigrant, and in poverty.

Income: includes per capita income, median family income, aggregate personal income, and wages earned or paid.

Environment: includes land area, land use, environmental conditions, environmental hazardous waste data, size of water systems, volume of oil and gas production, and miles of coastline.

Education: includes enrollment, graduates, and educational expenditures.

Labor: includes civilian labor force, unemployment levels, and employment statistics.

Transportation: includes series, such as miles of highways and rail, aviation facilities, number of vehicles, and number of miles traveled.

Energy: includes energy consumption, heating and cooling degree days, levels of energy conservation, fuel costs, and residential heating/cooling equipment.

Government: includes taxation, expenditures, government employment, and salary levels.

Health: includes illness data, vital statistics, and levels of health-related expenditures.

Price indices: includes consumer prices, producer prices, and inflation levels.

Housing: includes number of units, condition of units, vacancy rates, and age of housing stock.

Economic sectors: includes business activity, manufacturing, retail trade, and agricultural statistics.

Miscellaneous measures of program costs/activity levels: includes series such as number of meals or number of pints of milk served, other income received by an agency, estimated costs to complete a project, the number of eligible recipients, and prior-year program expenditures.

Table III.2: Formula Grant Programs, Arranged by Major Statistical Series and Sources

Dollars in Millions

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
Statistical Series: Population			
13.646	Work Incentive Program	Collected and maintained by agency	$256.7
13.808	Aid to Families with Dependent Childern	Collected and maintained by agency	7,700.0
13.814A	Refugee and Entrant Assistance: Social Services	Collected and maintained by agency	66.9
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs	Collected and maintained by agency	60.2
20.106A	Airport Improvement Program: Primary Airport Apportionments	Collected and maintained by agency	399.0
83.503	Emergency Management Assistance	Collected and maintained by agency	55.0
84.162	Immigrant Education	Collected and maintained by agency	30.0
84.009	Education of Handicapped Children in State Schools	Collected and maintained by agency	146.5
84.010	Educationally Deprived Children: Local Educational Agencies	Collected and maintained by agency	2,969.3
84.027A	Education of the Handicapped: Basic Grant	Collected and maintained by agency	1,068.8
84.027B	Education of the Handicapped: Preschool Incentive	Collected and maintained by agency	26.3
10.203	Payments to Agricultural Experiment Stations Under the Hatch Act	Decennial Census	152.3
10.418	Water and Waste Disposal Systems for Rural Communities	Decennial Census	81.0
10.557A	Supplemental Food Program: Women, Infants, and Children (WIC)	Decennial Census	1,412.8
11.419	Coastal Zone Management Program Administration	Decennial Census	21.0
11.422	Coastal Energy Impact Program Planning Grants	Decennial Census	7.0
13.294	Health Planning: Health Systems Agencies	Decennial Census	37.4
13.600	Head Start Program	Decennial Census	841.9
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs	Decennial Census	60.2
13.818	Low-Income Home Energy Assistance Block Grant	Decennial Census	2,072.7
13.992	Alcohol, Drug Abuse, and Mental Health Block Grant	Decennial Census	462.0
14.156	Lower Income Housing Assistance Program	Decennial Census	289.0
14.218	Community Development Block Grants: Entitlement Grants	Decennial Census	2,379.9
14.219	Community Development Block Grants: Small Cities	Decennial Census	1,019.9
14.221	Urban Development Action Grants	Decennial Census	528.0
15.611B	Hunter Safety and Education	Decennial Census	15.4
15.916	Land and Water Conservation Fund	Decennial Census	72.9
20.106B	Airport Improvement Program: State Apportionments	Decennial Census	94.0
20.205C	Highway Planning and Construction: Primary System	Decennial Census	2,100.0
20.205D	Highway Planning and Construction: Rural Secondary System	Decennial Census	640.3

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
20.205E	Highway Planning and Construction: Urban System	Decennial Census	$788.0
20.205F	Highway Planning and Construction: Urban Transportation Planning	Decennial Census	49.3
20.205H	Highway Planning and Construction: Highway Safety Programs	Decennial Census	9.9
20.205I	Highway Planning and Construction: Hazard Elimination	Decennial Census	198.0
20.205J	Highway Planning and Construction: Rail-Highway Crossings	Decennial Census	188.1
20.505	Urban Mass Transportation Technical Studies Grants	Decennial Census	45.0
20.507B	Urban Mass Transportation Capital and Operating Assistance: Small Urban Areas	Decennial Census	74.0
20.509	Public Transportation for Non-urbanized Areas	Decennial Census	69.9
20.600	State and Community Highway Safety	Decennial Census	99.9
20.999	Transportation Services for Elderly and Handicapped Persons	Decennial Census	26.2
21.300	General Revenue Sharing	Decennial Census	4,566.7
45.129	Promotion of the Humanities: State Programs	Decennial Census	18.3
81.041	State Energy Conservation	Decennial Census	23.6
81.042	Weatherization Assistance for Low-Income Persons	Decennial Census	187.0
81.052	Energy Conservation for Institutional Buildings	Decennial Census	58.7
84.048	Vocational Education: Basic Grants to States	Decennial Census	558.0
84.049	Vocational Education: Consumer and Homemaking Education	Decennial Census	31.6
84.050	Vocational Education: Program Improvement and Supportive Service	Decennial Census	99.9
84.052	Vocational Education: Special Programs for the Disadvantaged	Decennial Census	14.4
84.053	Vocational Education: State Advisory Councils	Decennial Census	6.5
84.121	Vocational Education: State Planning and Evaluation	Decennial Census	3.6
13.293	State Health Planning and Development Agencies	Annual Population Estimates, Census Bureau	19.0
13.623	Runaway Youth Program	Annual Population Estimates, Census Bureau	18.1
13.628	Child Abuse and Neglect Prevention and Treatment	Annual Population Estimates, Census Bureau	6.7
13.630A	Developmental Disabilities: Basic Grants	Annual Population Estimates, Census Bureau	43.8
13.630B	Developmental Disabilities: Protection and Advocacy of Individual Rights	Annual Population Estimates, Census Bureau	8.4
13.633A	Older Americans Programs: Administrative Expenses	Annual Population Estimates, Census Bureau	21.7
13.633B	Older Americans Programs: Supportive Services	Annual Population Estimates, Census Bureau	250.9
13.635	Older Americans Programs: Nutrition Services	Annual Population Estimates, Census Bureau	388.1
13.645	Child Welfare Services: State Grants	Annual Population Estimates, Census Bureau	165.0
13.667	Social Services Block Grant	Annual Population Estimates, Census Bureau	2,700.0

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
16.540	Juvenile Justice and Delinquency Prevention: Allocation to States	Annual Population Estimates, Census Bureau	$42.9
16.573	Justice Block Grant Funds to States	Annual Population Estimates, Census Bureau	55.5
17.235	Senior Community Service Employment Program	Annual Population Estimates, Census Bureau	319.5
20.218	Motor Carrier Safety Assistance Program	Annual Population Estimates, Census Bureau	8.0
20.999	Transportation Services for Elderly and Handicapped Persons: Capital Assistance Program	Annual Population Estimates, Census Bureau	26.2
21.300	General Revenue Sharing	Annual Population Estimates, Census Bureau	4,566.7
23.008	Appalachian Local Access Roads	Annual Population Estimates, Census Bureau	8.0
45.007	Promotion of the Arts: State Programs	Annual Population Estimates, Census Bureau	23.8
66.418	Construction Grants for Wastewater Treatment Works	Annual Population Estimates, Census Bureau	2,400.0
66.432	State Public Water System Supervision Program Grants	Annual Population Estimates, Census Bureau	26.3
66.433	State Underground Water Source Protection: Program Grants	Annual Population Estimates, Census Bureau	7.5
66.700A	Pesticide Enforcement Program Grants	Annual Population Estimates, Census Bureau	7.8
66.801	Hazardous Waste Management Financial Assistance To States	Annual Population Estimates, Census Bureau	46.9
81.050	Energy Extension Service	Annual Population Estimates, Census Bureau	10.0
83.503	Emergency Management Assistance	Annual Population Estimates, Census Bureau	55.0
84.034	Library Services	Annual Population Estimates, Census Bureau	65.0
84.035	Interlibrary Cooperation and Resource Sharing	Annual Population Estimates, Census Bureau	15.0
84.126	Rehabilitation Services: Basic Support	Annual Population Estimates, Census Bureau	1,037.8
84.151	Improving School Programs: State Block Grants	Annual Population Estimates, Census Bureau	450.7
84.154	Public Library Construction	Annual Population Estimates, Census Bureau	25.0
84.161	Client Assistance for Handicapped Individuals	Annual Population Estimates, Census Bureau	6.0
10.427	Rural Rental Assistance Payments	Special Tabulations by Census Bureau	42.0
11.307	Economic Development and Adjustment Assistance: Long-Term Deterioration	Special Tabulations by Census Bureau	17.8
17.247	Migrant and Seasonal Farmworkers	Special Tabulations by Census Bureau	60.0
17.250A	Job Training Partnership Act, Title II-A: Basic Program	Special Tabulations by Census Bureau	1,886.2
17.250B	Job Training Partnership Act, Title II-B: Summer Youth Program	Special Tabulations by Census Bureau	824.5
83.501	State Flood Insurance Assistance Program	Special Tabulations by Census Bureau	3.2
84.002	Adult Education: State-Administered Program	Special Tabulations by Census Bureau	$95.0
84.010	Educationally Deprived Children: Local Educational Agencies	Special Tabulations by Census Bureau	2,969.3
83.501	State Assistance Program	Other Census data	3.2
84.010	Educationally Deprived Children: Local Educational Agencies	Other Census data	2,969.3

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
10.564	Nutrition Education and Training Program	Other published series	$5.0
13.630A	Developmental Disabilities: Basic Grants	Other published series	43.8
13.630B	Developmental Disabilities: Protection and Advocacy of Individual Rights	Other published series	8.4
17.801	Disabled Veterans Outreach Program	Other special tabulations	59.5
13.600	Head Start Program	State-local collected data	841.9
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs	State-local collected data	60.2
15.605	Fish Restoration	State-local collected data	33.7
15.611A	Wildlife Restoration	State-local collected data	3.0
84.011	Migrant Education: Basic State Formula Grant Program	State-Local collected data	258.0
84.060	Indian Education: Local Educational Agencies and Tribal Schools	State-Local collected data	46.4
13.991	Preventive Health and Health Services Block Grant	Statistical Abstract, Census Bureau	87.1
13.994	Maternal and Child Health Block Grant	Yet to be determined	339.2
Statistical Series: Income			
13.646	Work Incentive Program	Collected and maintained by agency	256.7
10.568	Temporary Emergency Food Assistance: Administrative Costs	Decennial Census	49.1
14.550	Solar Energy and Energy Conservation Bank	Decennial Census	36.0
21.300	General Revenue Sharing	Decennial Census	4,566.7
11.307	Economic Development Adjustment Assistance: Long-Term Deterioration	Special tabulation by Census Bureau	17.8
14.221	Urban Development Action Grants	Other Census data	528.0
13.630A	Developmental Disabilities: Basic Grants	BEA published data	43.8
13.630B	Developmental Disabilities Protection and Advocacy of Individual Rights	BEA Published Data	8.4
13.645	Child Welfare Services: State Grants	BEA published data	165.0
13.658	Foster Care: Title IV-E	BEA published data	478.5
13.659	Adoption Assistance	BEA published data	26.7
13.714	Medicaid	BEA published data	19,600.0
13.808	Aid to Families with Dependent Children	BEA published data	7,700.0
13.992	Alcohol, Drug Abuse, and Mental Health Block Grant	BEA published data	462.0
17.235	Senior Community Service Employment Program	BEA published data	319.5
21.300	General Revenue Sharing	BEA published data	4,566.7
84.034	Library Services	BEA published data	65.0
84.035	Interlibrary Cooperation and Resource Sharing	BEA published data	15.0
84.048	Vocational Education: Basic Grants to States	BEA published data	558.0
84.049	Vocational Education: Consumer and Homemaking Education	BEA published data	31.6

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
84.050	Vocational Education: Program Improvement and Supportive Service	BEA published data	$99.9
84.052	Vocational Education: Special Programs for the Disadvantaged	BEA published data	14.4
84.053	Vocational Education: State Councils	BEA published data	6.5
84.121	Vocational Education: State Planning and Evaluation	BEA published data	3.6
84.126	Rehabilitation Services: Basic Support	BEA published data	1,037.8
84.154	Public Library Construction	BEA published data	25.0
10.553	School Breakfast Program	OMB Poverty Guidelines	372.6
10.555	National School Lunch Program	OMB Poverty Guidelines	3,012.7
10.556	Special Milk Program for Children	OMB Poverty Guidelines	18.6
10.558	Child Care Food Program	OMB Poverty Guidelines	378.1
Statistical Series: Environment			
10.202	Cooperative Forestry Research	Collected and maintained by agency	12.7
11.419	Coastal Zone Management Program Administration	Collected and maintained by agency	21.0
11.422	Coastal Energy Impact Program Planning Grants	Collected and maintained by agency	7.0
20.205J	Highway Planning and Construction: Rail-Highway Crossings	Collected and maintained by agency	188.1
66.419	Water Pollution Control: State and Interstate Program Grants	Collected and maintained by agency	54.2
66.432	State Public Water System Supervision Program Grants	Collected and maintained by agency	26.3
66.700A	Pesticide Enforcement Program Grants	Collected and maintained by agency	7.8
66.801	Hazardous Waste Management Financial Assistance To States	Collected and maintained by agency	46.9
20.106B	Airport Improvement Program State Apportionments	Decennial Census	94.0
20.205C	Highway Planning and Construction: Primary System	Decennial Census	2,100.0
20.205D	Highway Planning and Construction: Rural Secondary System	Decennial Census	640.3
20.205J	Highway Planning and Construction: Rail Highway Crossings	Decennial Census	188.1
15.605	Fish Restoration	Other Census data	33.7
15.611A	Wildlife Restoration	Other Census data	3.0
66.419	Water Pollution Control: State and Interstate Program Grants	Other Census data	54.2
11.422	Coastal Energy Impact Program Planning Grants	Other published series	7.0
23.008	Appalachian Local Access Roads	Other published series	8.0
66.419	Water Pollution Control: State and Interstate Program Grants	Other published series	54.2
66.700A	Pesticide Enforcement Program Grants	Other published series	7.8
11.421	Coastal Energy Impact Program: Formula Grants	Other special tabulations	7.0

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
11.422	Coastal Energy Impact Program: Planning Grants	Other special tabulations	$7.0
66.419	Water Pollution Control: State and Interstate Program Grants	Private group/associations	54.2
66.432	State Public Water System Supervision Program Grants	Statistical Abstract, Census Bureau	26.3
66.433	State Underground Water Source Protection: Program Grants	Statistical Abstract Census Bureau	7.5
Statistical Series: Education			
84.009	Education of Handicapped Children in State Schools	Collected and maintained by agency	146.5
84.010	Educationally Deprived Children: Local Educational Agencies	Collected and maintained by agency	2,969.3
84.011	Migrant Education: Basic State Formula Grant Program	Collected and maintained by agency	258.0
84.013	Neglected and Delinquent Children	Collected and maintained by agency	32.6
84.027A	Education of the Handicapped: Basic Grant	Collected and maintained by agency	1,068.8
84.041	School Assistance in Federally Affected Areas: Maintenance and Operation	Collected and maintained by agency	555.0
84.060	Indian Education: Local Educational Agencies and Tribal Schools	Collected and maintained by agency	46.4
84.069	Grants to States for Student Incentives	Collected and maintained by agency	76.0
10.564	Nutrition Education and Training Program	Other published series	5.0
15.130	Indian Education: Assistance to Schools	Other special tabulations	26.0
15.130	Indian Education: Assistance to Schools	State-local provided data	26.0
84.040	School Assistance in Federally Affected Areas: Construction	State-local provided data	20.0
84.041	School Assistance in Federally Affected Areas: Maintenance and Operation	State-local provided data	555.0
84.146	Transition Program For Refugee Children	State-local provided data	16.6
Statistical Series: Labor			
11.422	Coastal Energy Impact Program	Collected and maintained by agency	7.0
66.700A	Planning Grants Pesticide Enforcement Program Grants	Collected and maintained by agency	7.8
66.700B	Pesticide Applicator Certification and Training Program	Collected and maintained by agency	1.0
14.221	Urban Development Action Grants	Other Census data	528.0
10.568	Temporary Emergency Food Assistance Administrative Costs	Published BLS data	49.1
11.307	Economic Development and Adjustment Assistance: Long-Term Deterioration	Published BLS data	17.8
14.221	Urban Development Action Grants	Published BLS data	528.0
17.207	Employment Service Administration	Published BLS data	740.4

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
17.250A	Job Training Partnership Act Title II-A: Basic Program	Special Tabulations by BLS	$1,886.2
17.250B	Job Training Partnership Act, Title II-B: Summer Youth Program	Special Tabulations by BLS	824.5
14.221	Urban Development Action Grants	Other Published Series	528.0
17.246	Employment and Training Assistance Dislocated Workers	Other Special Tabulations	167.2
Statistical Series: Transportation			
20.205B	Highway Planning and Construction: Interstate 4R Program	Collected and maintained by agency	2,364.1
20.218	Motor Carrier Safety Assistance Program	Collected and maintained by agency	8.0
20.507A	Urban Mass Transportation Capital and Operating Assistance: Large Urban Areas	Collected and maintained by agency	1,722.9
20.308	Local Rail Service Assistance	Other published series	12.5
20.205C	Highway Planning and Construction: Primary System	Other special tabulations	2,100.0
20.205D	Highway Planning and Construction: Rural Secondary System	Other special tabulations	640.3
20.205J	Highway Planning and Construction: Rail-Highway Crossings	Other special tabulations	188.1
20.205H	Highway Planning and Construction: Highway Safety Programs	State-local collected data	9.9
20.205I	Highway Planning and Construction: Hazard Elimination	State-local collected data	198.0
20.600	State and Community Highway Safety	State-local collected data	99.9
Statistical Series: Energy			
13.818	Low-Income Home Energy Assistance Block Grant	Collected and maintained by agency	2,072.7
14.550	Solar Energy and Energy Conservation Bank	Collected and maintained by agency	36.0
14.850	Public and Indian Housing	Collected and maintained by agency	1,202.9
81.052	Energy Conservation for Institutional Buildings	Collected and maintained by agency	58.7
81.042	Weatherization Assistance for Low-Income Persons	Other published data series	187.0
81.052	Energy Conservation for Institutional Buildings	Other published data series	58.7
81.041	State Energy Conservation	State-local collected data	23.6
Statistical Series: Government			
13.808	Aid to Families with Dependent Children	Collected and maintained by agency	7,700.0
14.850	Public and Indian Housing	Collected and maintained by agency	1,202.9
21.300	General Revenue Sharing	Census of Governments	4,566.7
21.300	General Revenue Sharing	Special Tabulations by Census Bureau	4,566.7
21.300	General Revenue Sharing	Other Census Data	4,566.7
17.235	Senior Community Service Employment Program	Other Special Tabulations	319.5
21.300	General Revenue Sharing	Other Special Tabulations	4,566.7
13.658	Foster Care: Title IV-E	State-local collected data	478.5
13.659	Adoption Assistance	State-local collected data	26.7

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
17.801	Disabled Veterans Outreach Program	State-local collected data	$59.5
17.804	Local Veterans Employment Representative Program	State-local collected data	49.3
20.005	Boating Safety Financial Assistance	State-local collected data	11.9
Statistical Series: Health			
10.557A	Supplemental Food Program: Women, Infants, and Children (WIC)	Collected and maintained by agency	1,412.8
10.557B	Supplemental Food Program: Women, Infants, and Children - Administrative Costs	Collected and maintained by agency	282.6
13.714	Medicaid	Collected and maintained by agency	19,600.0
64.016	Veterans State Hospital Care	Collected and maintained by agency	27.0
10.557A	Supplemental Food Program: Women, Infants, and Children (WIC)	Other published series	1,412.8
64.014	Veterans State Domiciliary Care	State-local collected data	11.0
64.015	Veterans State Nursing Home Care	State-local collected data	39.2
Statistical Series: Price Indices			
10.557A	Supplemental Food Program: Women, Infants, and Children (WIC)	Collected and maintained by agency	1,412.8
14.156	Lower Income Housing Assistance Program	Decennial census	289.0
10.553	School Breakfast Program	Published BLS data	372.6
10.555	National School Lunch Program	Published BLS data	3,012.7
10.556	Special Milk Program for Children	Published BLS data	18.6
10.559	Summer Food Program for Children	Special tabulations by BLS	105.5
14.850	Public and Indian Housing	Other	1,202.9
Statistical Series: Housing			
14.156	Lower Income Housing Assistance Program	Decennial Census	289.0
14.218	Community Development Block Grant: Entitlement Grants	Decennial Census	2,379.9
14.219	Community Development Block Grants: Small Cities Program (HUD and State Administered)	Decennial Census	1,019.9
14.230	Rental Housing Rehabilitation	Decennial Census	149.0
10.427	Rural Rental Assistance Payments	Special tabulation by Census Bureau	42.0
14.221	Urban Development Action Grants	Other Census data	528.0
Statistical Series: Economic Sectors			
11.407	Commercial Fisheries Research and Development	Collected and maintained by agency	4.0
66.700B	Pesticide Applicator Certification and Training Program	Collected and maintained by agency	1.0
66.700A	Pesticide Enforcement Program Grants	Other published series	7.8
Statistical Series: Miscellaneous			
10.202	Cooperative Forestry Research	Collected and maintained by agency	12.7
10.475	Cooperative Intrastate Meat and Poultry Inspection	Collected and maintained by agency	31.4
10.550A	Food Distribution: Child Nutrition	Collected and maintained by agency	456.7

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
10.550B	Food Distribution: Elderly Feeding	Collected and maintained by agency	$117.9
10.553	School Breakfast Program	Collected and maintained by agency	372.6
10.555	National School Lunch Program	Collected and maintained by agency	3,012.7
10.556	Special Milk Program for Children	Collected and maintained by agency	18.6
10.558	Child Care Food Program	Collected and maintained by agency	378.1
10.559	Summer Food Program for Children	Collected and maintained by agency	105.5
10.560	State Administrative Expenses for Child Nutrition	Collected and maintained by agency	45.3
10.665	Schools and Roads: Grants to States	Collected and maintained by agency	224.9
11.407	Commercial Fisheries Research and Development	Collected and maintained by agency	4.0
13.646	Work Incentive Program	Collected and maintained by agency	256.7
13.665	Community Services Block Grant	Collected and maintained by agency	316.7
13.679	Child Support Enforcement Administrative Costs	Collected and maintained by agency	490.3
13.814C	Refugee and Entrant Assistance: Maintenance and Medical Assistance	Collected and maintained by agency	357.1
13.991	Preventive Health and Health Services Block Grant	Collected and maintained by agency	87.1
13.994	Maternal and Child Health Block Grant	Collected and maintained by agency	339.2
14.850	Public and Indian Housing	Collected and maintained by agency	1,202.9
17.225	Unemployment Insurance State Administrative Costs	Collected and maintained by agency	1,536.3
20.005	Boating Safety Financial Assistance	Collected and maintained by agency	11.9
20.205A	Highway Planning and Construction: Interstate System Construction	Collected and maintained by agency	3,640.2
20.205G	Highway Planning and Construction: Bridge Replacement and Rehabilitation	Collected and maintained by agency	1,428.5
20.205K	Highway Planning and Construction: Interstate Highway Substitution	Collected and maintained by agency	519.7
20.218	Motor Carrier Safety Assistance Program	Collected and maintained by agency	8.0
20.507A	Urban Mass Transportation Capital and Operating Assistance: Large Urban Areas	Collected and maintained by agency	1,722.9
66.418	Construction Grants for Wastewater Treatment Works	Collected and maintained by agency	2,400.0
66.433	State Underground Water Source Protection: Program Grants	Collected and maintained by agency	7.5
84.012	Educationally Deprived Children State Administration	Collected and maintained by agency	34.4
16.573	Justice Block Grant Funds to States	Census of Governments	55.5
15.904	Historic Preservation	Special tabulations by BEA	21.5
11.422	Coastal Energy Impact Program Planning Grants	Other published series	7.0
17.235	Senior Community Service Employment Program	Other special tabulations	319.5
17.804	Local Veterans Employment Representative Program	Other special tabulations	49.3
83.501	State Flood Insurance Assistance Program	Other special tabulations	3.2
13.294	Health Planning: Health Systems Agencies	State-local collected data	37.4
14.550	Solar Energy and Energy Conservation Bank	State-local collected data	36.0

CFDA Number	Title of Formula Grant Program	Source	FY 1984 Funding
15.904	Historic Preservation	State-local collected data	$21.5
20.700	Gas Pipeline Safety	State-local collected data	3.5
64.014	Veterans State Domiciliary Care	State-local collected data	11.0
64.015	Veterans State Nursing Home Care	State-local collected data	39.2
64.016	Veterans State Hospital Care	State-local collected data	27.0
83.503	Emergency Management Assistance	State-local collected data	55.0
84.040	School Assistance in Federally Affected Areas: Construction	State-local collected data	20.0
13.600	Head Start Program	Historical data maintained by agency	841.9
66.801	Hazardous Waste Management Financial Assistance to States	Notices in Federal Register	46.9

Inventory of Formula Grant Programs in Fiscal Year 1984, by House and Senate Authorizing Committees

In table IV.1, formula grant programs by House and Senate authorizing committees are summarized. The program authorizing committee information is based on our Legislative, Authorization, Programs, and Budgeting Information System, which was last updated in 1982. The jurisdictions for some of the following programs may have changed since 1982 and may not be reflected in the following tables. Also not reflected are possible joint jurisdiction arrangements that exist for some programs.

Table IV.1: Summary of the Distribution of Formula Grants by House and Senate Authorizing Committees

Dollars in millions

House Authorizing Committees	Number of programs	Total FY 1984 Funding
Education and Labor	50	$22,365.1
Energy and Commerce	17	20,980.2
Public Works and Transportation	24	16,894.3
Ways and Means	7	11,817.2
Banking, Finance, and Urban Affairs	8	5,646.7
Government Operations	1	4,566.7
Agriculture	12	1,627.7
Foreign Affairs	3	484.2
Veterans' Affairs	5	186.0
Interior and Insular Affairs	3	120.4
Merchant Marine and Fisheries	7	99.0
Judiciary	2	98.4
Armed Services	2	58.2
Science and Technology	1	4.0
Total	**142**	**$84,948.1**
Senate Authorizing Committees		
Finance	11	$38,260.6
Labor and Human Resources	45	15,820.5
Environment and Public Works	23	14,547.7
Banking, Housing, and Urban Affairs	13	7,584.7
Agriculture, Nutrition, and Forestry	17	6,759.2
Commerce, Science, and Transportation	11	667.8

Senate Authorizing Committees	Number of programs	Total FY 1984 Funding
Foreign Relations	3	484.2
Energy and Natural Resources	6	373.7
Veterans' Affairs	5	186.0
Judiciary	3	116.5
Select Committee on Indian Affairs	3	89.0
Armed Services	2	58.2
Total	**142**	**$84,948.1**

The following are lists of formula grants in fiscal year 1984, by the House authorizing committees:

CFDA Number	Title of Formula Grant Program
House Committee on Agriculture	
10.559	Summer Food Program for Children
10.564	Nutrition Education and Training Program
10.550B	Food Distribution: Elderly Feeding
10.568	Temporary Emergency Food Assistance Administrative Costs
10.202	Cooperative Forestry Research
10.203	Payments to Agricultural Experiment Stations Under Hatch Act
10.418	Water and Waste Disposal Systems for Rural Communities
10.475	Cooperative Intrastate Meat and Poultry Inspection
10.550A	Food Distribution: Child Nutrition
10.553	School Breakfast Program
10.556	Special Milk Program for Children
10.665	Schools and Roads: Grants to States
Total Number of Programs: 12	
House Committee on Armed Services	
83.501	State Flood Insurance Assistance Program
83.503	Emergency Management Assistance
Total Number of Programs: 2	
House Committee on Banking, Finance, and Urban Affairs	
14.218	Community Development Block Grants: Entitlement Grants
14.219	Community Development Block Grants: Small Cities Program (HUD- and State-Administered)
14.221	Urban Development Action Grants
14.230	Rental Housing Rehabilitation

CFDA Number	Title of Formula Grant Program
14.550	Solar Energy and Energy Conservation Bank
14.156	Lower Income Housing Assistance Program
14.850	Public and Indian Housing
10.427	Rural Rental Assistance Payments
Total Number of Programs: 8	

House Committee on Education and Labor

84.050	Vocational Education: Program Improvement and Supportive Service
84.052	Vocational Education: Special Programs for the Disadvantaged
84.121	Vocational Education: State Planning and Evaluation
10.557A	Supplemental Food Program: Women, Infants, and Children (WIC)
10.557B	Supplemental Food Program: Women, Infants, and Children (WIC)—Administrative Costs
10.560	State Administrative Expenses for Child Nutrition
13.600	Head Start Program
13.623	Runaway Youth Program
13.665	Community Services Block Grant
13.818	Low-Income Home Energy Assistance Block Grant
45.129	Promotion of the Humanities: State Programs
84.069	Grants to States for Student Incentives
84.126	Rehabilitation Services: Basic Support
84.146	Transition Program for Refugee Children
84.161	Client Assistance for Handicapped Individuals
13.628	Child Abuse and Neglect Prevention and Treatment
13.630A	Developmental Disabilities: Basic Grants
13.630B	Developmental Disabilities: Protection and Advocacy of Individual Rights
13.633A	Older Americans Programs: Administrative Expenses
13.633B	Older Americans Programs: Supportive Services
13.635	Older Americans Programs: Nutrition Services
17.235	Senior Community Service Employment Program
84.009	Education of Handicapped Children in State Schools
84.010	Educationally Deprived Children: Local Educational Agencies
84.011	Migrant Education: Basic State Formula Grant Program
84.012	Educationally Deprived Children: State Administration
84.013	Neglected and Delinquent Children
84.151	Improving School Programs: State Block Grants
84.002	Adult Education: State-Administered Program
84.040	School Assistance in Federally Affected Areas: Construction
84.041	School Assistance in Federally Affected Areas: Maintenance and Operation

CFDA Number	Title of Formula Grant Program
84.034	Library Services
84.035	Interlibrary Cooperation and Resource Sharing
84.048	Vocational Education: Basic Grants to States
84.049	Vocational Education: Consumer and Homemaking Education
84.053	Vocational Education: State Councils
84.060	Indian Education: Local Educational Agencies and Tribal Schools
84.154	Public Library Construction
84.162	Immigrant Education
45.007	Promotion of the Arts: State Programs
10.555	National School Lunch Program
10.558	Child Care Food Program
17.207	Employment Service Administration
17.225	Unemployment Insurance State Administrative Costs
17.246	Employment and Training Assistance: Dislocated Workers
17.247	Migrant and Seasonal Farmworkers
17.250A	Job Training Partnership Act, Title II-A: Basic Program
17.250B	Job Training Partnership Act, Title II-B: Summer Youth Employment
84.027A	Education Of the Handicapped: Basic Grant
84.027B	Education of the Handicapped: Preschool Incentive
Total Number of Programs: 50	
House Committee on Energy and Commerce	
13.293	State Health Planning and Development Agencies
13.294	Health Planning: Health Systems Agencies
13.714	Medicaid
66.419	Water Pollution Control: State and Interstate Program Grants
66.432	State Public Water System Supervision Program Grants
66.433	State Underground Water Source Protection: Program Grants
81.041	State Energy Conservation
81.042	Weatherization Assistance for Low-Income Persons
81.050	Energy Extension Service
81.052	Energy Conservation for Institutional Buildings
13.991	Preventive Health and Health Services Block Grant
13.992	Alcohol, Drug Abuse, and Mental Health Block Grant
66.801	Hazardous Waste Management: Financial Assistance to States
13.994	Maternal and Child Health Block Grant
20.308	Local Rail Service Assistance
66.700A	Pesticide Enforcement Program Grants
66.700B	Pesticide Applicator Certification and Training Program
Total Number of Programs: 17	

CFDA Number	Title of Formula Grant Program
House Committee on Foreign Affairs	
13.814A	Refugee and Entrant Assistance: Social Services
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs
13.814C	Refugee and Entrant Assistance: Maintenance and Medical Assistance
Total Number of Programs: 3	
House Committee on Government Operations	
21.300	General Revenue Sharing
Total Number of Programs: 1	
House Committee on Interior and Insular Affairs	
15.904	Historic Preservation
15.916	Land and Water Conservation Fund
15.130	Indian Education: Assistance to Schools
Total Number of Programs: 3	
House Committee on the Judiciary	
16.540	Juvenile Justice and Delinquency Prevention: Allocation to States
16.573	Justice Block Grant Funds to States
Total Number of Programs: 2	
House Committee on Merchant Marine and Fisheries	
11.422	Coastal Energy Impact Program: Planning Grants
11.421	Coastal Energy Impact Program: Formula Grants
20.005	Boating Safety Financial Assistance
11.419	Coastal Zone Management: Program Administration
15.605	Fish Restoration
15.611A	Wildlife Restoration
15.611B	Hunter Safety and Education
Total Number of Programs: 7	

CFDA Number	Title of Formula Grant Program
House Committee on Public Works and Transportation	
11.307	Economic Development and Adjustment Assistance: Long-Term Deterioration
20.205A	Highway Planning and Construction: Interstate System Construction
20.205B	Highway Planning and Construction: Interstate 4R Program
20.205C	Highway Planning and Construction: Primary System
20.205D	Highway Planning and Construction: Rural Secondary System
20.205E	Highway Planning and Construction: Urban System
20.205F	Highway Planning and Construction: Urban Transportation Planning
20.205G	Highway Planning and Construction: Bridge Replacement and Rehabilitation
20.205H	Highway Planning and Construction: Highway Safety Programs
20.205I	Highway Planning and Construction: Hazard Elimination
20.205J	Highway Planning and Construction: Rail-Highway Crossings
20.205K	Highway Planning and Construction: Interstate Highway Substitution
20.507A	Urban Mass Transportation: Capital and Operating Assistance—Large Urban Areas
20.507B	Urban Mass Transportation: Capital and Operating Assistance—Small Urban Areas
20.509	Public Transportation for Nonurbanized Areas
20.700	Gas Pipeline Safety
23.008	Appalachian Local Access Roads
66.418	Construction Grants for Wastewater Treatment Works
20.999	Transportation Services for Elderly and Handicapped Persons: Capital Assistance Program
20.505	Urban Mass Transportation Technical Studies Grants
20.106A	Airport Improvement Program: Primary Airport Apportionments
20.106B	Airport Improvement Program: State Apportionments
20.218	Motor Carrier Safety Assistance Program
20.600	State and Community Highway Safety
Total Number of Programs: 24	

CFDA Number	Title of Formula Grant Program
House Committee on Science and Technology	
11.407	Commercial Fisheries Research and Development
Total Number of Programs: 1	

House Committee on Veterans' Affairs	
17.801	Disabled Veterans Outreach Program
17.804	Local Veterans Employment Representative Program
64.014	Veterans State Domiciliary Care
64.015	Veterans State Nursing Home Care
64.016	Veterans State Hospital Care
Total Number of Programs: 5	

House Committee on Ways and Means	
13.645	Child Welfare Services: State Grants
13.646	Work Incentive Program
13.658	Foster Care: Title IV-E
13.659	Adoption Assistance
13.667	Social Services Block Grant
13.679	Child Support Enforcement Administrative Costs
13.808	Aid to Families with Dependent Children
Total Number of Programs: 7	

The following are lists of formula grants in fiscal year 1984, by the Senate authorizing committees:

CFDA Number	Title of Formula Grant Program
Senate Committee on Agriculture, Nutrition, and Forestry	
10.559	Summer Food Program for Children
10.564	Nutrition Education and Training Program
10.557A	Supplemental Food Program: Women, Infants, and Children (WIC)
10.557B	Supplemental Food Program: Women, Infants, and Children—Administrative Costs
10.560	State Administrative Expenses for Child Nutrition
10.550B	Food Distribution: Elderly Feeding
10.568	Temporary Emergency Food Assistance Administrative Costs
10.202	Cooperative Forestry Research
10.203	Payments to Agricultural Experiment Stations Under Hatch Act
10.418	Water and Waste Disposal Systems for Rural Communities
10.475	Cooperative Intrastate Meat and Poultry Inspection
10.550A	Food Distribution: Child Nutrition
10.553	School Breakfast Program
10.556	Special Milk Program for Children
10.665	Schools and Roads: Grants to States
10.555	National School Lunch Program
10.558	Child Care Food Program
Total Number of Programs: 17	
Senate Committee on Armed Services	
83.501	State Flood Insurance Assistance Program
83.503	Emergency Management Assistance
Total Number of Programs: 2	
Senate Committee on Banking, Housing, and Urban Affairs	
14.218	Community Development Block Grants: Entitlement Grants
14.219	Community Development Block Grants: Small Cities
14.221	Urban Development Action Grants
14.230	Rental Housing Rehabilitation
20.507A	Urban Mass Transportation Capital and Operating Assistance: Large Urban Areas
20.509	Public Transportation for Non-Urbanized Areas

CFDA Number	Title of Formula Grant Program
20.507B	Urban Mass Transportation Capital and Operating Assistance: Small Urban Areas
20.999	Transportation Services for Elderly and Handicapped Persons
20.505	Urban Mass Transporation Technical Studies Grants
14.550	Solar Energy and Engery Conservation Bank
14.156	Lower Income Housing Assistance Program
14.850	Public and Indian Housing
10.427	Rural Rental Assistance Payments
Total Number of Programs: 13	
Senate Committee on Commerce, Science, and Transportation	
11.422	Coastal Energy Impact Program: Planning Grants
20.700	Gas Pipeline Safety
11.407	Commercial Fisheries Research and Development
20.106A	Airport Improvement Program: Primary Airport Apportionments
20.106B	Airport Improvement Program: State Apportionments
11.421	Coastal Energy Impact Program Formula Grants
20.005	Boating Safety Financial Assistance
20.218	Motor Carrier Safety Assistance Program
11.419	Coastal Zone Management Program Administration
20.308	Local Rail Service Assistance
20.600	State and Community Highway Safety
Total Number of Programs: 11	
Senate Committee on Energy and Natural Resources	
81.041	State Energy Conservation
81.042	Weatherization Assistance for Low-Income Persons
81.050	Energy Extension Service
81.052	Energy Conservation for Institutional Buildings
15.904	Historic Preservation
15.916	Land and Water Conservation Fund
Total Number of Programs: 6	
Senate Committee on Environment and Public Works	
66.419	Water Pollution Control: State and Interstate Program Grants
66.432	State Public Water System Supervision Program Grants
66.433	State Underground Water Source Protection: Program Grants

CFDA Number	Title of Formula Grant Program
11.307	Economic Development and Adjustment Assistance: Long-Term Deterioration
20.205A	Highway Planning and Construction: Interstate System Construction
20.205B	Highway Planning and Construction: Interstate 4R Program
20.205C	Highway Planning and Construction: Primary System
20.205D	Highway Planning and Construction: Rural Secondary System
20.205E	Highway Planning and Construction: Urban System
20.205F	Highway Planning and Construction: Urban Transportation Planning
20.205G	Highway Planning and Construction: Bridge Replacement and Rehabilitation
20.205H	Highway Planning and Construction: Highway Safety Programs
20.205I	Highway Planning and Construction: Hazard Elimination
20.205J	Highway Planning and Construction: Rail Highway Crossings
20.205K	Highway Planning and Construction: Interstate Highway Substitution
23.008	Appalachian Local Access Roads
66.418	Construction Grants for Wastewater Treatment Works
66.801	Hazardous Waste Management Financial Assistance to States
66.700A	Pesticide Enforcement Program Grants
66.700B	Pesticide Applicator Certification and Training Program
15.605	Fish Restoration
15.611A	Wildlife Restoration
15.611B	Hunter Safety and Education
Total Number of Programs: 23	
Senate Committee on Finance	
21.300	General Revenue Sharing
17.207	Employment Service Administration
17.225	Unemployment Insurance State Administrative Costs
13.645	Child Welfare Services: State Grants
13.646	Work Incentive Program
13.658	Foster Care: Title IV-E
13.659	Adoption Assistance
13.667	Social Services Block Grant
13.679	Child Support Enforcement Administrative Costs
13.714	Medicaid
13.808	Aid to Families with Dependent Children
Total Number of Programs: 11	

CFDA Number	Title of Formula Grant Program
Senate Committee on Foreign Relations	
13.814A	Refugee and Entrant Assistance: Social Services
13.814B	Refugee and Entrant Assistance: Targeted Assistance Programs
13.814C	Refugee and Entrant Assistance: Maintenance and Medical Assistance
Total Number of Programs: 3	
Senate Committee on the Judiciary	
13.623	Runaway Youth Program
16.540	Juvenile Justice and Delinquency Prevention: Allocation to States
16.573	Justice Block Grant Funds to States
Total Number of Programs: 3	
Senate Committee on Labor and Human Resources	
84.050	Vocational Education: Program Improvement and Supportive Service
84.052	Vocational Education: Special Programs for the Disadvantaged
84.121	Vocational Education: State Planning and Evaluation
13.600	Head Start Program
13.665	Community Services Block Grant
13.818	Low-Income Home Energy Assistance Block Grant
45.129	Promotion of the Humanities State Programs
84.069	Grants to States for Student Incentives
84.126	Rehabilitation Services: Basic Support
84.161	Client Assistance for Handicapped Individuals
13.293	State Health Planning and Development Agencies
13.294	Health Planning: Health Systems Agencies
13.628	Child Abuse and Neglect Prevention and Treatment
13.630A	Developmental Disabilities: Basic Grants
13.630B	Developmental Disabilities: Protection and Advocacy of Individual Rights
13.633A	Older Americans Programs: Administrative Expenses
13.633B	Older Americans Programs: Supportive Services
13.635	Older Americans Programs: Nutrition Services
17.235	Senior Community Service Employment Program
84.009	Education of Handicapped Children in State Schools
84.010	Educationally Deprived Children Local Educational Agencies
84.011	Migrant Education: Basic State Formula Grant Program

CFDA Number	Title of Formula Grant Program
84.012	Educationally Deprived Children State Administration
84.013	Neglected and Delinquent Children
84.151	Improving School Programs: State Block Grants
13.991	Preventive Health and Health Services Block Grant
13.992	Alcohol, Drug Abuse, and Mental Health Block Grant
84.002	Adult Education: State-Administered Program
84.040	School Assistance in Federally Affected Areas: Construction
84.041	School Assistance in Federally Affected Areas: Maintenance and Operation
84.034	Library Services
84.035	Interlibrary Cooperation
84.048	Vocational Education: Basic Grants to States
84.049	Vocational Education: Consumer and Homemaking Education
84.053	Vocational Education: State Advisory Councils
84.154	Public Library Construction
84.162	Immigrant Education
45.007	Promotion of the Arts: State Programs
17.246	Employment and Training Assistance Dislocated Workers
17.247	Migrant and Seasonal Farmworkers
17.250A	Job Training Partnership Act, Title II-A: Basic Program
17.250B	Job Training Partnership Act, Title II-B: Summer Youth Program
84.027A	Education Of The Handicapped: Basic Grant
84.027B	Education Of The Handicapped: Preschool Incentive
13.994	Maternal and Child Health Block Grant
Total Number of Programs: 45	
Senate Committee on Veterans' Affairs	
17.801	Disabled Veterans Outreach Program
17.804	Local Veterans Employment Representative Program
64.014	Veterans State Domiciliary Care
64.015	Veterans State Nursing Home Care
64.016	Veterans State Hospital Care
Total Number of Programs: 5	
Senate Select Committee on Indian Affairs	
84.146	Transition Program For Refugee Children
84.060	Indian Education: Local Educational Agencies and Tribal Schools
15.130	Indian Education: Assistance to Schools
Total Number of Programs: 3	

Glossary

The following definitions apply only to terms used in the narrative developed in the formula grant catalog. In the area of formula grants, terms are often imprecise; this glossary is intended to provide some uniformity in their use and understanding. As a result, the glossary may not reflect the interpretations and definitions of terms used by the agencies in specific programs.

Allocation	A distribution of funds among grant recipients, arrived at by applying a formula to specific program funds available.[1]
Allotment	An amount of funds received by a grant recipient.
Apportionment	A division of available funds among activities, projects, or objects (or a combination thereof), based on a formula.
Appropriation	The statute that generally provides the authority for federal agencies to incur financial obligations and to make payments out of the U.S. Treasury for specified purposes. Appropriation legislation generally follows the enactment of authorizing legislation. See Authorization.
Authorization	The statutory authority that sets up, or continues, the legal operation of a federal program, either indefinitely or for a specified period of time. Authorizing legislation is normally a prerequisite for appropriations.
Constraint	A restriction produced by a formula that is applied to allotments. Constraints are generally used to ensure maximum or minimum funding levels for recipients or limits on year-to-year changes in funding levels. See Deminimus, Hold Harmless Provision, Maximum Allocation Constraint, Maximum Year-to-Year Change Constraint, and Minimum Allocation.

---

[1] According to the Federal Highway Administration (Department of Transportation), the term "allocation" refers to funds distributed by an administratively established formula, and the term "apportionment" refers to statutorily established formulas.

Cost-Sharing Factor	A data element that explicitly reflects the share of program costs to be financed with federal funds. See also Matching Rate and Reimbursement Rate.
Data Elements	The various formula factors (usually, but not always, comprised of statistical series) used to produce allocations. (See Cost-Sharing Factor, Fiscal Capacity Factor, and Incentive Factor.
Deminimus	A provision that eliminates grant payments to grantees whose formula allotment is below a specified amount.
Earmarking	See Set-asides.
Eligibility Factor	A data element that reflects conditions grant recipients must meet in order to be eligible to receive grant funds.
Fiscal Capacity Factor	A data element that reflects the ability of a government to generate revenues from its own economic resources, subject to its taxing authority. "Personal income," as defined by the Bureau of Economic Analysis, and "money income," as defined by the Census Bureau, are the most commonly used measures of fiscal capacity in federal grant formulas.
Formula	A prescribed method for (1) distributing funds among grant recipients to finance (completely or partially) eligible program costs, or (2) determining a recipient's eligibility for funding. It is a structured mathematical statement, i.e., algebraic equation; it specifies the data element(s) used to make the allocation or reimbursement (see Reimbursement Rate) and the relationships between the data elements (e.g., if they are to be multiplied, divided, added, or subtracted). Sometimes formulas are an intermediate step in allocating funds. For example, the Environmental Protection Agency's (EPA's) Hazardous Waste Management Fiscal Assistance for States program (66.801) uses a formula to allocate funds among states for planning purposes. Based on these planning allocations, a lump sum of funds (see Pot) is allotted to

	EPA's regional offices for distribution to local governments making project proposals.
Hold Harmless Provision	This provision guarantees that a grant recipient will not receive less funding than it did under a previous program or under a preceding formula. Hold Harmless Provisions are used to protect a recipient's funding levels when substantial changes are made to an existing program or formula. They are sometimes also called grandfather provisions. For example, the Water Pollution Control program (66.419) guarantees that states will receive no less than the dollar amount they received during fiscal year 1973.
Incentive Factor	A data element that is used to reward a grant recipient's performance. For example, the Work Incentive Program (13.646) offers a bonus allotment to those state recipients that encourage placing job trainee graduates into higher wage jobs.
In-Kind Contributions	This represents the value of noncash contributions provided by a grant recipient to satisfy the nonfederal matching requirement. The contributions may be in the form of real (nonexpendable) property or the value of goods and services directly benefiting a program.
Local Share	See Share.
Maintenance of Effort Provision	A grant condition where the recipient (a) maintains the same contribution to a program from its own resources as in a prior period, or (b) agrees that federal funds will be used to supplement, and not supplant, funds from other sources.
Matching Requirement	The grant recipient's share of program costs, or the rate at which a recipient must finance program costs from its own resources. This matching is a condition for receiving federal grant funds. The match may be a hard or a soft match, depending on the conditions of the grant. A hard match means the recipient must provide its share of the match with dollars appropriated from its own sources. A soft match

	means the recipient may provide in-kind contributions, such as rent-free office space; these equal the dollar value of the required match.
Mathematical Structure	The algebraic expression that describes the formula in mathematical terms. It shows how a formula's data elements are algebraically combined to determine either program eligibility, the grant recipient's share of available funds, the recipient's funding allotment, or the level of eligible program costs subject to federal reimbursement. These algebraic expressions, as used in this catalog, cannot be used to calculate recipients' actual dollar allocations because constraints and set-asides are not included.
Maximum Allocation Constraint	A ceiling on the level of formula allocations that can be provided to any one recipient. It can be expressed as an absolute dollar amount or a percentage amount of the total funds being allocated.
Maximum Year-To-Year Change Constraint	This limits the change (up, down, or both) in the percentage share or the dollar amount of funds received by a recipient from year to year. It is used to stabilize funding when there are rapid or substantial changes in the value of data elements. It is also used as a Hold Harmless Provision to phase in a new formula over a period of several years.
Minimum Allocation	A guarantee to each grant recipient of a funding level that equals a minimum specified level, either in absolute dollar or percentage terms. For example, the State Health Planning and Development Agencies program, 13.293, ensures each state receives no less than 1.25 percent of the total funding allocated.
Obligations	The amount of grant funds awarded by the federal government to a grant recipient during a given period; obligations incurred require that the recipient make federal payments during the same or a future period. Obligation amounts incurred are reported in the catalog, but they may differ from the amounts agency officials told us they allocated in fiscal year 1984 through their formulas, as reported in the appendices.
Pot	The funds earmarked as a subset of the total amount of funds to be allocated by formula. A pot is used when funds are subdivided, and each

	subdivision is allocated to recipients by a separate formula. See, for example, the Urban Mass Transportation Capital and Operating Assistance Formula Grants for large urban areas (20.507A). This program has a series of pots of money that are subject to separate allocations.
Proxy	A substitute generally used when the statistics necessary to directly measure the need for, or cost of, a service are not available. It is usually a related series of data. For example, the goal of the Juvenile Justice and Delinquency Prevention grant (16.540) is to improve the juvenile justice system. Funds are targeted to states based on the estimated population of children 17 years old or under instead of the number of children that age who have committed crimes; the former population is used because the data for the latter are not collected consistently state-by-state.
Pro Rata Reduction	An equal, across-the-board reduction applied to all recipients. If sufficient funds are not available to provide a formula-determined level of funding, then a pro rata reduction may be applied. See, for example, the Public and Indian Housing grant (14.850), which allocates funds based on the costs to operate housing programs. But if funding is insufficient, then the funds available are prorated so all recipients will share the funding cut equally. In programs with minimum constraints, the allotment for those grant recipients not affected by the constraints are proportionately reduced in order to fund those recipients subject to a minimum allocation.
Ratably Reduced	See Pro Rata Reduction. These terms are used interchangeably.
Reimbursement	In some programs, the recipient must incur the program costs before claiming available federal aid. In such cases, the federal government guarantees a Reimbursement Rate to recipients. This is a fixed dollar amount per unit of service or a specified percentage share of the total costs for delivering a specific kind of service. These programs are usually open-ended federal commitments of funds. See the School Lunch program (10.555) for an example of a fixed dollar reimbursement per unit of service (e.g., number of meals served); see Medicaid (13.714) for an example of a formula that reimburses a varying percentage of program costs to states. Fixed reimbursement per unit of service is linked to

	the number of units of service; percentage rates of costs are linked to service costs (which may vary among recipients).
Set-Asides	A prescribed percentage or dollar amount of grant funds that is earmarked for a specific purpose, at the national or at the state level, and may not be used for other purposes.
Share	Each grant recipient's percentage share, not its dollar allotment, resulting from a formula allocation. The percentage share for each recipient, which sums to 100, is applied to the total dollar amount to be allocated, resulting in a recipient's dollar allocation. These mathematical expressions often cannot be used to calculate a recipient's actual dollar allocation because constraints and set-asides are not included. See Mathematical Structure.
State Share	See Share.
States	In this catalog, the 50 states and the District of Columbia are considered States. The District is described separately only if its allocation method is computed differently from that of the 50 states.
Sum of Numerator	The numerator of a formula describes how the data elements for an individual grant recipient are to be combined algebraically. The Sum of Numerator refers to the process of calculating the algebraic expression for each recipient and then summing the results to arrive at a grand total for all recipients. For example, the Indian Education: Assistance to Schools grant formula (15.130) is expressed as: State Share = [Students * (EDEXP/EDEXPUS)]/ Sum of Numerator Here, we multiplied the number of students in one state by the percentage share of education expenditures for that one state (EDEXP) versus the nation (EDEXPUS). The resulting figure is then divided by the sum of the resulting figure for all states.

	This is algebraically equivalent to the following standard expression of the same equation: State Share = $\dfrac{[S_i \times (E_i / \sum_{i=1}^{50} E_i)]}{\sum_{i=1}^{50} [S_i \times (E_i / \sum_{i=1}^{50} E_i)]}$ where S = Students and E = EDEXP
Territories	They are defined as the Commonwealth of Puerto Rico, the Virgin Islands, the Marshall Islands, Guam, the Trust Territory of the Pacific Islands, and American Samoa. If allocation provisions for the territories are not described differently from those of the states, then, in the formulas, each territory is included separately as a state. Program officials did not give us consistent information on the treatment of the territories.
Total Cost Factor	A data element that directly measures total program or project costs.
Unit Cost Factor	A data element that reflects the cost per workload unit, such as per pupil expenditures.
Weights	These are relative proportions, such as 50 percent, 20 percent, and 30 percent, which sum to 100 percent. Weights are often used with the data elements in an algebraic expression to denote their degree of importance (relative value) in achieving program objectives. See, for example, the State Public Water System Supervision Program grants (66.432), which assigns different weights to each of four data elements in the formula.
Workload Factor	A data element that measures directly, or is a proxy for, the quantity (number of units of service) to be provided, such as the number of educationally deprived youth.